SCHOOL EXPANSION AMONG INDEPENDENT SCHOOLS IN HAWAIʻI:

NEGOTIATING AND LEADING ORGANIZATIONAL CHANGE

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DEDICATION

For my parents, Herbert and Gretchen,

who have gifted me life and love—the greatest gifts.

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—Casey M. Asato

ABSTRACT

Over the past decade, the independent school landscape in the U.S. and Hawai‘i has experienced a dramatic transformation resulting in school closures, consolidations, and attempts at expansions. Leadership of organizational change, particularly within complex contexts undergoing highly dynamic and disruptive forces, is long understood as challenging at best and destructive at worst, where major organizational changes more often fail than succeed.

This qualitative case study explored how independent school leaders in Hawai‘i negotiated and led the process of school expansion in order to understand factors and practices that influence this organizational change. Through a cross-case analysis, this study examined the intersects of leadership approaches, organizational climate, and the operational environment at three independent schools in Hawai‘i to discover rationales for school expansion and effective leadership practices to facilitate organizational change processes.

The investigation explored the topic through a conceptual framework of organizational change leadership and an interpretive theoretical perspective framed by a constructivist epistemology and pragmatism. The significance of the investigation lies in the study's uncovering of the mechanisms and theories of change at three schools that deepens and enriches understanding of key contextual elements, challenges, and opportunities for independent school heads and governing boards considering school expansion.

Unique circumstances and contexts of independent school expansions reflected system-level changes that were "punctuated" and "continuous" as well as "adaptive" and "emergent" to adjust to complex and unpredictable environments. The researcher purposefully focuses on effective practices and principles rather than emphasizing best practices to avoid making context free assertions and findings.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

CHAPTER 1. INTRODUCTION

Forty-seven years ago, Toffler (1970) presciently foretold in *Future Shock* that many of the developments of our current world would result from a rapidly changing and increasingly interconnected society. Those who fail to change do so at their own risk, and frequently, at their own peril (Friedman, 2007). In this new society, knowledge- and meaning-making amidst complexity and dynamic systems are ever more critical for success and survival (Senge, 2006). For independent schools across the U.S., the disruptive and dramatic changes have stimulated their leaders to reflect deeply on survival strategies, re-envision their school's future, and make decisions ranging from reactive to proactive. Hawai‘i's independent schools have not been immune from these disruptions. Similar to the U.S. Mainland, Hawai‘i has experienced declining enrollment trends over the past decade with lethal consequences to financial and institutional viability (Demirbag, 2014). Leadership decisions for organizational change in independent schools often occur through a form of collaboration between heads of school and the board of trustees and frequently pass without critical reflection on the mechanisms of the theories of action.

This chapter introduces the background of the problem, problem statement, purpose of the study, research questions, conceptual framework, theoretical perspective, scope and significance of the study, and definitions of terms used throughout the report.

Background of the Problem

A dramatic transformation of the independent school landscape in Hawai‘i over the past decade has occurred within the context of a complex, highly dynamic interplay of unpredictable economic, social, and political forces. This dynamic has manifested itself principally in declining enrollments and increased competition that, at the very least, has resulted in a wake-up call for

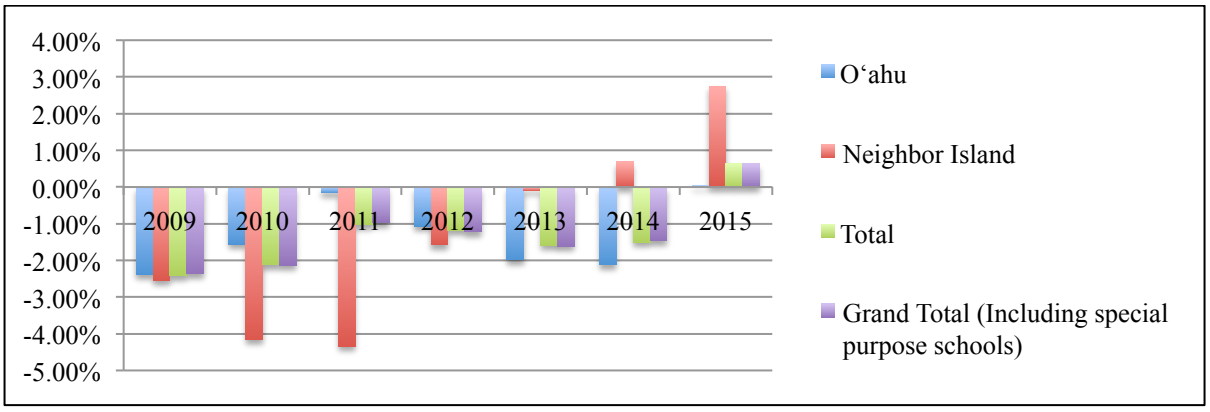
independent school leaders and governing boards throughout the state. For many, these forces have reverberated across all sectors and industries and into the school halls of Hawai‘i Association of Independent Schools (HAIS) members. Heads of school and governing boards have responded by reexamining their schools' fundamental assumptions and identities, refining and repurposing their missions, and navigating their own respective roles and decisions upon which the very survival of their schools has depended.

The attack of 9/11 started the new millennium with violence, fear, and uncertainty, which since has escalated into two wars in Iraq and Afghanistan and a third highly complex, ambiguous, and enduring battle against terror nationally and globally. It appears that after sixteen years of conflict and no clear end in sight, the tone has been set for a new normal for the operational climate. Layered into this systemic global conundrum the world has been gripped by the world-wide economic turmoil that began in 2007 and peaked in 2008, marking the worst financial crisis since the Great Depression in the U.S. and whose fallout has become called the "Great Recession." The spikes in unemployment and related crises of subprime mortgage markets and liquidity sent tremors throughout the nation's banks, businesses, homes, and independent schools across the nation. Between the summer of 2006 and 2009, Hawai‘i's unemployment rates doubled and tripled for the individual counties of Hawai‘i, Maui, and O‘ahu from lows of below 2% to highs near 11% and an overall state seasonally adjusted peak rate of over 7% (DBEDT, 2016). Even as the state's unemployment rate has declined in recent years, Hawai‘i's homelessness rate has continued to climb throughout the period of this study, prompting the governor to declare a state of emergency (Botelho, 2015, Oct. 17). Nowhere in the nation is the homeless rate higher per capita than in Hawai‘i even as national rates are falling (Reid, 2016, Jan. 2). Research conducted by the National Association of Independent Schools (NAIS) revealed

that nearly half of the over 900 independent schools studied experienced declining enrollments within the past decade (Chubb & Clark, 2015, Oct. 6). Likewise, a U.S. Census Bureau reports that the total number and percent of students enrolled in private schools has experienced a declining trend nation-wide since 1960, which steepened sharply following the recent financial crisis (Ewert, 2013). Declines are expected to continue until at least 2020 when it is projected to stabilize and subsequently begin to slowly climb (National Center for Education Statistics, 2014, Jan.). Faced with this challenge, NAIS president John Chubb and data analyst Constance Clark offer reflections designed to help independent school leaders manage these difficulties, writing, "What can you do?" and "Evaluate your mission and programmatic offerings" (Chubb & Clark, 2015, Oct. 6).

The general experience of enrollment declines at private schools at the national level was mirrored at the state level in Hawai'i between 2007 and 2015, with an uptick in total numbers in 2015 after six years of declines (See Figure 1).

Figure 1. Percentage Change in Enrollment at Traditional Private Schools Over Previous Year, 2007-2015



Sources: Hawai'i Association of Independent Schools (HAIS) and Hawai'i Council of Private Schools (HCPS) Private School Enrollment Reports, 2007-2015.

The direct impact of these enrollment declines on private schools has been dramatic for communities, particularly given the role that these schools play in the relatively small state of

Hawai‘i. Between 2007 and 2016, many enrollment decreases at member schools of HAIS were in the double-digits (Gaudi, 2016, June 14). Moreover, at least eight independent schools have permanently shuttered their doors to families and communities, and five of these were long-time establishments with fifty or more years of serving students (See Table 1). On O‘ahu, Watson

Table 1. Independent School Closures in Hawai‘i, 2005-2016

School	Year Closed	Years Operating
Epiphany Episcopal School	2005 (merged with MPI)	67
Kona Pacific Waldorf School	2007	10
St. Joseph’s School [Maui]	2009	65
Word of Life Academy	2010	17
Holy Trinity School	2010	50
Academy of the Pacific	2013	52
Cathedral Catholic Academy	2016	80
Our Redeemer Lutheran School	2016	45

Sources: Newspaper records, Hussey (2014), and former employee of Kona Pacific Waldorf School (personal communication, April 25, 2016).

(2014) discusses his personal experience at Academy of the Pacific with the process of closing an independent school. Likewise, Hussey (2014) shares her role as head of school at Epiphany Episcopal School and the process of merging her school with Mid-Pacific Institute, thus ending 67 years of independence for the elementary school.

Despite ranking number one with the highest costs of living in the U.S. and listed as 50th in the nation as the worst place to make a living (Cohn, 2016, July 11; Gould, 2015, June 30), Hawai‘i ranks number one in the nation for the highest percentage of its students attending private school (State of Hawai‘i DOE, 2013a). When comparing State DOE figures of total enrollment of public school students in 2014-2015 at 180,895 (State of Hawai‘i DOE, 2014, Oct. 30) with HAIS (2015a) figures for the same year of private school enrollment at 36,797 (p. 5),

just over 20% of all students in Hawai‘i attend a private or parochial school, and in Honolulu, that percentage is even higher (Kolko, 2014, Aug. 13). Foremost among the contributing reasons for the comparatively higher enrollment rates in private schools are the concerns over the low academic achievement by Hawai‘i’s youth enrolled in the public school system. According to a recent outside assessment of the state’s educational system, Hawai‘i’s public schools received the following marks: Academic Achievement: D; International Competitiveness: F; Fiscal Responsibility: D; and 21st Century Teacher Force: D (U.S. Chamber of Commerce Foundation, 2014). Secondly, graduation rates average in the low 80th percentile (State of Hawai‘i DOE, 2013b) with roughly 63% continuing on to college (State of Hawai‘i DOE, 2014). The correlation of college education with a higher life-long earnings and quality of life may incentivize some parents to choose private school education (BLS, 2016, March 15; USDOE, 2015, July 27). Indeed, the 118 independent schools in Hawai‘i (HAIS, 2015b, p. 14), Pre-K to grade 12, fill a critical role in the education of the state’s children, particularly those who are college-bound. Notwithstanding the high cost of living, trend of declining enrollment, and closure of a number of long-established schools, private school enrollment rates in Hawai‘i have been among the highest in the nation for any state in the U.S. (Ross, 2012, May 6). In Hawai‘i, where one graduates from high school continues to carry associations of power, status, and connections to business and social advancement (Pape, 2014, Oct. 29).

The growth of charter schools over the past twenty years has posed an alarmingly difficult element to contend with in the landscape of K through 12 education for independent school leaders seeking to negotiate the complex climate within which their schools operate. In New York, for example, the Council for American Private Education (CAPE) (2012, March) reports an exodus of students from Catholic schools to public charter schools and that the future

is bleak for parochial schools as the state raises the cap on the number of public charter schools. Nationwide, the Cato Institute finds that charter schools are drawing large numbers of students from private schools and pose a direct threat to their existence, particularly in urban areas (Buddin, 2012). Since the opening of the first U.S. public charter school in Minnesota in 1992, there are now over 6,800 charter schools serving nearly 3 million children nationally, and this number is expected to continue to grow rapidly (National Alliance for Public Charter Schools, 2017). For families seeking alternatives to traditional public school options and who cannot afford or do not wish to pay the fees for private school tuition, the charter schools offer low-cost, specialized options for their children (Finn, 2013, May 16). This may have increasing and important implications for places like Hawai‘i that are ethnically diverse and have more at-risk students because the prevalence of charter and private schools is found to be more common in these areas (Buddin, 2012).

The passing of Act 272 by the state legislature in 1994 paved the way for the authorization of public charter schools in Hawai‘i. Shortly following the passage of the law, Wai‘alae Elementary School became the first public charter school authorized in Hawai‘i in 1995, followed by Lanikai Elementary School in 1996. Efforts by leaders to educate and explain about charter schools initially faced resistance and skepticism, but have improved with time, earning greater public understanding and acceptance (Shon, 2007). In 2012, Act 130 provided the Board of Education authorizing functions and replaced Chapter 302D HRS, which had established the State Public Charter School Commission and placed it within the State Department of Education (State Public Charter School Commission, 2012). Charter schools also have the option of being accredited by the same process as independent schools in the state, which is managed by HAIS. Between 2007 and 2016 alone, eight new public charter schools

emerged, with a total of 33 new schools since 2000. By 2015, the number of public charter schools grew by 5.9% over the previous year and numbered 35, educating well over 10,000 students K through 12 throughout the state (Auditor, State of Hawai‘i, 2015, Dec.; State Public Charter School Commission, 2015).

On the national, state, and school levels, historic shifts in leadership have predominated the landscape over the past decade. The inauguration of the first Black president in the history of the U.S. in 2008 and a female presidential candidate who won the popular vote in 2016 marked dramatic changes regarding assumptions and understandings of leadership and national identity. State representation at the national level experienced dramatic change in power with the death of U.S. Senator Daniel Inouye, who was one of the longest serving and highest-ranking senators in U.S. history, leading powerful positions that included the chair of the U.S. Senate Committee on Appropriations. The retirement of U.S. Senator Daniel Akaka after 23 years of service and election of Hawai‘i’s first female senator, Mazie Hirono, in 2012 represented additional representative shifts occurring at the national level. At the state level, the inauguration of Linda Lingle was a watershed in the history of Hawai‘i for it was the first time a woman was elected governor in the state, and the first time since Governor William Quinn’s term at statehood that a Republican candidate was elected governor of Hawai‘i. Among school leadership, there is a crisis facing America due to a generation of retiring leaders and few candidates interested in the positions (Evans, 2010; Kouzes & Posner, 2016). Evans (2010) writes, “In the independent school world, candidate pools for headships have also dropped sharply” (p. x), reflecting concern by NAIS (2010, Feb.) over this leadership crisis as the majority of independent heads of school expect to retire soon and few current administrators are interested in the job. NAIS, itself, has been led by four leaders in this decade. In Hawai‘i, leadership of HAIS experienced a change

similarly as on the national political arena when the organization's executive director, Robert Witt, retired in 2014 after 26 years of service to the independent school community. The concerns expressed by NAIS regarding a potential crisis of leadership due to retiring heads this decade have proven true as Hawai‘i has seen the retirement of over a dozen heads of school within the past five years alone.

In the wake of these national- and local-level turbulences that reflect ever increasing systemic complexities, competition, and unknowns in the operating climate, declining enrollments and threats of school closures have led some school leaders nationwide and in Hawai‘i to choose to consolidate their schools with other schools, attempt growth by adding grade levels or entire divisions, or become coeducational. Empirical reports found in dissertations, periodicals, and articles by associations point to financial non-viability as a major result of this period and cause for school closures or mergers and other forms of school expansion (Chen, 2013, Aug. 11; Demirbag, 2014; Faus & Clark, 2009, Summer; Hussey, 2014; Watson, 2014; Weiss, 2012). The experience has been traumatic for many institutions that have been serving communities for decades, if not, over a century.

Still, others have weathered the storm in the state and even thrived with healthy enrollment numbers by remaining committed to their mission and vision for the communities they serve. One prominent elementary school with nearly a century of operation in Hawai‘i has strategically chosen not to pursue expansion, though it was considered (Gaudi, 2014; personal communication with school board member, June, 2016), and within the physical and financial means of the institution. And another medium-sized, grades 6 through 12, school in the state has had the largest applicant numbers in the history of the school (Seabury Hall, personal communication, May, 2016). So while nearly half of NAIS schools between 2007 and 2014 lost

students, a bit more than half grew (Chubb & Clark, 2015, Oct. 6), and in spite of consecutive years of declining enrollment and school closures, a number of independent schools in Hawai‘i grew (HAIS, 2015a).

Problem Statement

Leadership of organizational change is long understood as challenging at best and destructive at worst. People expect change to be lenient and fairly quick without considering what are the mechanisms or pathways that facilitate a successful change process. There is a pretense of what we know rather than what we do not know frequently because "complexity hinders *learning* [emphasis in original] from evidence" (Sterman, 2006, p. 506). Since the peak of the worldwide financial crisis in 2008, many of the more than 1,500 independent schools in the U.S. have experienced declining enrollment (Chubb & Clark, 2015, Oct. 6; NAIS, 2016) leading some to close operations. At the same time, others have chosen to grow through a combination of ways. These include mergers with other schools, changing from single-gender to coeducational, adding grade levels, or creating entirely new divisions. What are the lessons for school leaders from those who have successfully negotiated and led the process of school expansion when more than 70% of all major organizational transformations fail (Beer & Nohria, 2000; Kotter, 2016)? Specifically, how did these independent school leaders successfully negotiate and lead their school's expansion process? What were the factors and processes that influenced this organizational change? To what extent did the leadership follow personal theories of organizational change, relying on their own knowledge, skills, styles, and experiences? Alternatively, to what extent did they subscribe to theoretical change model(s) of organizations to guide them through the complex process?

Why schools decide to expand and how they approach the process can have critical consequences for current and future sustainability of the organizations. Focusing on effective practices and principles, rather than emphasizing best practices, the researcher purposefully signals a nuanced attention away from making an "assertion that is context free" (Guba & Lincoln, 1981, p. 62 as quoted in Patton, 2011, p. 165). Patton (2011) writes, "Best practices are specific prescriptions (recipes) about what to do. In contrast, principles provide guidance that must be interpreted, applied, and adapted situationally in context" (p. 168). Some recent studies have examined the financial viability of small, private schools in the state, while others have explored the process of consolidating two separate schools and their cultures onto a single campus (Demirbag, 2014; Hussey, 2014). These reports have helped illuminate the critical role of change process leadership and managing financial and cultural vulnerabilities for independent schools in the state of Hawai‘i. To date, however, the literature is scant with regard to an examination of how improved understanding of the relationships between leadership, organizational climate, and the operating environment may advance leadership practice in the processes of school expansion among independent schools in Hawai‘i.

Purpose of the Study

The purpose of this qualitative case study is to explore how independent school leaders in Hawai‘i negotiate and lead the process of school expansion in order to understand factors and practices that influence this organizational change. The study is intended to have tangible, useful applications in professional leadership practice for independent schools that are in the process of negotiating and leading school expansion in Hawai‘i. Outcomes of the study may contribute to improved understanding of processes and factors related to leading significant organizational changes such as school expansion among independent schools in Hawai‘i. Results of the study

may begin to inform effective practices for governing boards and heads of schools regarding organizational change. This may include those practices related to mechanisms for organizational change, leadership structures, relationship dynamics among school leadership members, as well as relationship dynamics among the school constituency groups. The results of the study may also enrich and inform the body of research related to educational leadership and organizational change as related to leadership of school expansion.

This study, therefore, explores the roles of leadership approaches and operational environment in school expansion processes among three independent schools in Hawai‘i for the purpose of explaining factors that contribute to effective organizational change processes. The study seeks to understand effective organizational change processes by examining the intersects of leadership approaches, organizational climate, and the operational environment when facilitating school expansion.

The study will employ a case-study approach of three independent schools in Hawai‘i that have expanded in recent years. This approach allows for a multi-site, cross-case analysis of the different units of analysis in order to provide a deeper understanding of the research questions. A principles-based language may offer a less prescriptive approach to organizational change such as school expansion.

Research Questions

The study seeks to address the following research questions:

- What factors prompt independent schools to expand?
- By what processes do independent schools facilitate organizational change?
- In what ways does school culture or climate affect the organizational change process at independent schools?

- What role does the operational climate play in leading school expansion processes?

Conceptual Framework

This exploratory research study examines leadership of independent school expansion in Hawai‘i through the conceptual framework of organizational change leadership. By investigating dimensions of organizational change leadership, the researcher seeks to discover principles that inform the processes and practices of organizational expansion leadership in independent schools of Hawai‘i.

The complex and unpredictable contexts in which independent school expansion has occurred in Hawai‘i required systems-level changes (Lorenzi & Riley, 2000; Watzlawick, Weakland, & Fisch, 1974) characterized as both “punctuated” (Gersick, 1991; Romanelli & Tushman, 1994) and “continuous” (Louis, 1994; Peters, 1997a), albeit necessarily adaptive and emergent. This system-wide change can be rapid and fundamental for organizations, but also developmental and transformative for schools “to keep aligned with their environment and thus survive” (Burnes, 2004b, p. 283). This processual continuous improvement and organizational learning represent one dimension of organizational change leadership and is referred to as an Emergent approach to change.

Personal theories of action present a related dimension of the emergent and complex nature of leading independent school expansion in Hawai‘i that is critical to the conceptual framework of this study. It is rooted in the argument that leadership of independent school expansion is practitioner-driven, and that practitioners produce valid, useful, and legitimate knowledge because the changes are led by them (Jarvis, 1999). It is also based upon the layered understanding that all thoughtful school leadership decisions are made on the basis of some theory (Pogrow, 2015). Additionally, there exists a need “to conceive of researchers and users as

coproducers" of knowledge within organizational change leadership (Pettigrew, Woodman, & Cameron, 2001, p. 709), and that personal theories of practice (theory as practical knowledge) differ from theory of and about practice (knowledge learned but not tried out in practice) (Jarvis, 1999). Indeed, personal theories of action are sourced from deep wells of knowledge, skills, dispositions, and contexts whose mechanisms, conditions, risks, and opportunities are revealed in independent school leaders' logic models and manifested in their principles of practice.

Theoretical Perspective

Organizational authenticity comes from a heterogeneity of voices, where the uncovering of phenomena reveals the emergent and developmental process of truth, knowledge, and meaning making. This applied research study is informed by an interpretive perspective, framed by a constructivist/naturalistic epistemology, but with an eye to pragmatism given its purpose, focus, key assumptions, and desired results (Lincoln & Guba, 2013; Patton, 2015). As the primary theoretical perspective, constructivism guides the inquiry process of discovery and assimilation of new constructions of knowledge for this study. In this paradigm the researcher adheres to a hermeneutic methodology utilizing thick descriptions and a negotiated, iterative process that results in a consensual emergence of understanding where the inquirer is the pivotal instrument of gathering and analyzing the descriptions (Lincoln & Guba, 2013). Importantly, this cross-case study reflects the criteria of the constructivist paradigm's focus on plausibility, transferability, dependability, and confirmability over the traditional, objectivist paradigm's criteria of internal validity, generalizability, replicability, and objectivity (Lincoln & Guba, 2013, p. 82).

Although the methodology of the study is primarily framed by an interpretive orientation, pragmatic principles also inform its purpose, inquiry, and analysis. Patton (2015) writes that as a

framework for qualitative inquiry, “Pragmatism directs us to seek practical and useful answers that can solve, or at least provide direction in addressing, concrete problems” (p. 152). Thus, the analyses of data and subsequent findings in this study reflect an emphasis on the nature of practical experience understood through a constructivist view of reality. They are guided by principles of inquiry that include a mix of qualitative methods and epistemological traditions as appropriate to obtain diverse perspectives and insights on problems to inform action and understanding that is context dependent.

Scope and Significance of the Study

The focus of the study is on understanding how school leadership negotiates complex and dynamic environments, both internally and externally, to lead school expansion at independent schools in Hawai‘i. It is intended as an exploration of leadership practice by examining schools that have made the decision to expand and did so. The study does not attempt to provide a step-by-step process on how to expand a school, private or public, nor is its intention to suggest one leadership approach as most effective in leading the charge of significant organizational change. Neither is the study intended to produce a “best practices” of organizational change theories from academia. The exploratory investigation hopes to uncover the mechanisms and theories of change at the schools as revealed by leadership through professional practice. Given the costs and risks associated with expanding an independent school, a study addressing these problems may contribute to new knowledge and improved understandings of processes and factors related to organizational change leadership that result in tangible applications in professional practice for independent school leaders who are considering school expansion.

The significance of this study relates to several areas. It (a) documents the history and process of significant change among three long established independent schools in the state; (b)

provides insights into why and how independent schools choose to expand; (c) reveals the role of school culture in the school expansion process; (d) deepens and enriches understanding of key contextual elements, challenges, and opportunities for independent school heads and governing boards considering school expansion; (e) contributes to the body of literature concerning leadership of "level 2" organizational change or "second ordered change" (Lorenzi & Riley, 2000) for leadership and governance among independent schools and organizations in the nonprofit sector.

Due to the rapid and turbulent changes of the recent past and present, understanding key considerations in the decision making process for school expansion can be critical to outputs and outcomes. Ultimately, the study is intended to have a tangible, direct impact on professional leadership practice for independent school leaders who are in the process of negotiating and leading school expansion. The commitment, decision making process, and leadership approaches required of boards and leadership to consider when pursuing transformational school changes may have lessons related to leadership hires, board selection, and program creation. Results of the study may begin to inform effective practices among HAIS member school heads and governing boards to ensure the best possible outcomes for schools and communities considering this transformative change. Implications for practice may include process, relationship dynamics among school leaders, as well as relationship dynamics among the school constituency groups.

Participants of this study may help the HAIS leadership community better understand the challenges and opportunities that come from school expansion and assist heads and boards of schools with regard to decision making processes, policy considerations, and professional practice. Findings from this study may also help leaders determine whether those independent schools that are no longer sustainable be closed, or transformed into something new entirely (e.g.

Kona Pacific Public Charter School—formerly a Waldorf School]. The potential impact of the study could be significant for independent school leadership as the findings and implications would help to guide leadership in uncharted waters. This may have financially catastrophic or life-saving implications for the schools and the communities they serve.

Definitions

Independent School. The National Association of Independent Schools (NAIS, 2015, June 29) defines independent schools as:

> Non-profit private schools that are independent in philosophy: each is driven by a unique mission. They are also independent in the way they are managed and financed: each is governed by an independent board of trustees and each is primarily supported through tuition payments and charitable contributions. They are accountable to their communities and are accredited by state-approved accrediting bodies.

For the purposes of this study, independent school is used interchangeably with private school, although the author understands that distinctions are made between the two. For instance, both terms may also refer to parochial schools that may be overseen and controlled by a diocese or governing body apart from the school, and therefore may not be deemed "independent."

Leadership. The concept of leadership and its distinction from management are elusive and have been part of on ongoing debate in management literature for at least half a century (Burnes, 2004b, p. 504; Burns, 1978). In his landmark book on leadership, Burns (1978) defines leadership as "the reciprocal process of mobilizing, by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers" (p. 425). Or,

put more simply, "inducing followers to act for certain goals that represent the values and the motivations—the wants and needs, the aspirations and expectations—*of both leaders and followers* [emphasis in original]" (Burns, 1978, p. 19). He further separates two forms of leadership—transactional and transforming—which has been discussed and debated over the years in academia, dividing leadership into "transactional management" and "transformational leadership" (Bass, 1985; Burnes, 2004b; Burns, 1978). Bass (1985) and Kanter (1989) argue that effective leaders need to have an optimal balance between transformational and transactional leadership tools. Burnes (2004b) defines leadership as "the process of establishing goals and motivating others to pursue and achieve these goals" and management as "the process of planning, organizing and controlling resources and people in order to produce goods or provide services" (p. 601).

Leadership, necessitates knowledge, skills, and dispositions that empower individuals to influence others for the purpose of achieving some goal. While leadership involves the ability to influence and inspire others to act towards some desired action, management is seen as facilitating process. Still, Leithwood (1994) finds no distinction between management and leadership in terms of overt behaviors with regard to school restructuring, and Leithwood and Duke (1999) argue that in school contexts, "justifying a conceptual distinction between management and leadership is difficult" (p. 53). For the purposes of this study, leadership subsumes both terms because independent school heads typically are required to act in dual capacities. Yukl (2006), then, offers a definition of leadership useful to this study: "Leadership is the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives" (p. 8).

Operational Environment/Climate. An organization's climate has been referred to as "ecology" and "environment," among others, and can mean "those forces external to an organization, such as markets, customers, the economy, etc., which influence its decisions and internal operations" (Burnes, 2004b, p. 599). For the purposes of this study, operational environment encompasses the external forces impacting and influencing the operations of the school. These include government policies and regulations, human resources pool, market for school services, financing, economic conditions, new technologies threatening services provided, demographics and socio-cultural considerations, and competition.

Organizational Change. For the purposes of this study, organizational change does not refer solely to forms of change that resemble Kurt Lewin's "planned change" which is "averse to types of change that might come about by accident, by impulse, or that might be forced upon an organization" (Burnes, 2004b, p. 602). Organizational change may also include operational, strategic, cultural, and political forms (Lorenzi & Riley, 2000, p. 120). Moreover, change can happen as a difference in degree, or "microchanges," or differences in kind, or "megachanges," which reflect Watzlawick, Weakland, and Fisch's (1974) taxonomy of "first-order change" and "second-order change." In the context of this study, leadership and management function as key mechanisms for facilitating organizational change. Organizational change is the "process by which an organization gets to its future state, its vision" (Lorenzi & Riley, 2000, p. 118).

Personal Theory of Action. For the purposes of this study, a personal theory of action is "knowledge-how" (Flew, 1979 as quoted in Jarvis, 1999, p. 41) or practical knowledge, in addition to tacit knowledge, or knowledge acquired through experience, which combine together

with explicit knowledge gained through formal study to support personal theories of action for school leaders. A personal theory of action is specific and detailed in dealing with interventions and results from problem-solving in the real world, in real-time, with real consequences that holds the individual more socially, politically, and economically accountable than discipline-driven, linear processes of discovery, knowledge production, and dissemination. Through a school leader's practical, tacit, and explicit knowledge, "problems are framed in the context of application" (Pettigrew et al., 2001, p. 705).

A personal theory of action is "a theory based on accumulated experiential data" that serves as evidence and knowledge-building for informed action (Pogrow, 2015). Jarvis (1999) describes it as consisting "of fully integrated knowledge that combines learning from doing and thinking about practice with learning from other information sources, such as content knowledge learned from metatheory. It is therefore pragmatic, although the outcomes themselves are social constructs" (p. 145). While knowledge is legitimated rationally, empirically, and pragmatically (Scheffler, 1965, as quoted in Jarvis, 1999, p. 41), practical knowledge is always legitimated pragmatically for school leaders. It has its origins in action research (Burnes, 1996, 2004a; Lewin, 1947) seventy years ago.

School Expansion. In this study, school expansion refers to an independent school's deliberate action to change the organization from its previous state to a newer condition of growth characterized by any one or combination of the following: coeducational instruction, coordinate school system(s), the addition of division(s) or campus(es), and/or change in admissions policies to increase student enrollment numbers.

School/Organizational Climate. For the purposes of this study, school/organizational climate refers to the internal workings of the school that includes the school/organizational culture, as well as the disposition and style(s) of leadership that sets the tone of the organization. The following two definitions combined clarify this term. First, Cohen (2007, Fall) defines school climate as "The quality and character of school life—reflecting the norms, goals, values, interpersonal relationships, teaching, learning, leadership practices, and organizational structures" (para 4), based on a collaborative consensus produced by the National School Climate Council. Additionally, HAIS and Western Association of Schools and Colleges (WASC) (2014, Nov.) describe school climate as:

> *The 'feeling-tone' of a campus—what is often called the climate—reflects the human dimension of school life: the sense of comfort and inclusion, trust and respect, integrity, playfulness, and collaboration that suffuse daily life. School climate can be challenging to measure but is essential to understand because it bears directly on the school's quality of life and its capacity to implement change* [italics in original]. (p. 20)

School/Organizational Culture. This study conflates the definitions of several authors when referring to the concept of school/organizational culture. The father of organizational culture, Edgar Schein, defines organizational culture as:

> The deeper level of basic *assumptions* and *beliefs* that are shared by members of an organization, that operate unconsciously, and that define in a basic "taken-for-granted" fashion an organization's view of itself and its environment. These assumptions and beliefs are learned responses to a group's problems of survival in the external environment and its problems of *internal integration*. They come to be taken for granted

> because they solve those problems repeatedly and reliably. (as cited in Evans, 1996, p. 41)

Burnes (2004b) defines organizational culture as "the collection of basic assumptions, values, norms and artifacts that are shared by and influence the behavior of an organization's members" (p. 602). Evans (1996) explains organizational culture to be both "product and process, effect and cause" (p. 44). Moreover, school culture has been described as conservative (Corbett, Firestone, & Rossman, 1987). These characteristics of school/organizational culture are collectively represented in this study.

CHAPTER 2. LITERATURE REVIEW

The purpose of this qualitative case study is to explore how independent school leaders in Hawai‘i negotiate and lead the process of school expansion in order to understand factors and processes that influence this organizational change. To begin to address this purpose, the researcher synthesizes those bodies of literature relevant to understanding the context of the topic. The organization of the literature review centers on leadership, at the intersect of organizational climate and operational environment. In this space, leadership negotiates extrinsic and intrinsic factors impacting the organizational change processes to lead school expansion. As an exploratory study, the following loci within the research literature are germane: (a) theory and models of organizational change leadership; (b) leadership practice as personal theory of change; (c) organizational environment and leadership.

The search strategy of the literature review includes a survey of resources accessed from the University of Hawai‘i Library System and inter-library loans, the Crown and Greene Libraries at Stanford University, NAIS and HAIS, EBSCO*host* education/business, the Internet, and periodicals. The sources examined are peer-reviewed journal articles, books, and statistics that are considered contemporary or classic. In some cases newer editions of books were not cited because the changes were not deemed to add significantly newer insights that could contribute to the study, or were inaccessible. The literature review reveals that the research is sparse with regard to the examination of how improved understanding of the relationships between leadership, organizational climate, and the operating environment may advance leadership practice in the process of school expansion among independent schools in Hawai‘i. This represents a gap in the research literature that this exploratory study may begin to fill.

Theory and Models of Organizational Change Leadership

School expansion as a form of organizational change is a process and product of leadership where organizational climate intersects with the operational climate. The research literature specific to theory of leading school expansion at independent schools has been limited (Bryman, 2004; Heck & Hallinger, 1999), but also generally so concerning empirical evidence supporting any particular organizational change theory or model (By, 2005). By (2005) argues a "need for a new and pragmatic framework for change management" to identify critical success factors and recommends "that further exploratory studies of the nature of change and how it is being managed should be conducted" (p. 378). In some sense this is understandable due to the complexities of organizational change, but this is especially true of many independent schools because of the unique nature of their missions to educate children within a context of operating a nonprofit organization that is largely tuition-dependent.

It is reasonable, and with precedent, that educational researchers and leaders of independent schools draw from the business literature to provide some insight into the process of leading this change. In their review of the literature of empirical studies related to successful leadership, Leithwood, Harris, and Hopkins (2008) reference commonalities between corporate and educational contexts of change or "turn-around" management, which, in turn, influence successful application of core sets of leadership practices. Pogrow (2015) and Evans (2010) acknowledge this trend, though disparagingly, describing it as faddish among educational leadership in both public and private schools and among academicians. Evans writes, "The popular leadership fads typically have much less relevance to schools than to corporations. They are never developed in—or tailored to—educational settings" (p. 7) and therefore this approach

"ignores the unique features of schools and the special challenges of leading innovation there" (p. 40).

Evans (2010) describes the process of schools borrowing from corporate management models: (a) It begins outside of education, developed by management experts from studies of gifted business leaders; (b) It gains favor in corporate America and becomes all the rage in management writing; (c) As it nears what later turns out to have been its peak of popularity, policymakers and professors of education decide to apply it to schools; (d) It heats up in educational circles as it cools in the corporate world; (e) It is misapplied in education; (f) Well after it has lost its cachet in the business world, it lingers on in vestigial form in schools and schools of education until its popularity subsides (pp. 7-8). However, even within the business world, a debate exists regarding whether academics foist theories on managers or whether business leaders seek guidance from management theorists (Kanter, 2005). From this corpus of knowledge, there is no shortage of organizational change leadership theories, but few, if any, models exist in the extant literature tying leadership to school expansion processes at independent schools in Hawai'i.

Three perspectives of organizational change. Despite the abundance of change leadership literature, the field is "not a distinct discipline with rigid and clearly-defined boundaries" (Burnes, 2004b, p. 261), nor is it a topic of formal study prior to the 20th century (Marion, 2002, p. 3). While there are different approaches to creating taxonomies that help make sense of the multitude and diversity of theories related to organizations and change management, (Burnes, 2004b; Marion, 2002; Marion & Gonzales, 2014). Burnes (2004b) outlines three perspectives of organizational change and three categories of change that create an organizational framework for narrowing down and providing a rationale for the selection of

theories relevant to this study. The three perspectives are Individual, Group Dynamics, and Open-Systems, while the three categories of change are Incremental, Punctuated Equilibrium, and Continuous Transformation.

Briefly, the Individual perspective reflects a positivist, classical leadership perspective of closed systems theory that assumes a "single-minded focus on efficiency" (Marion & Gonzales, 2014, p. 25) and effectiveness (Marion, 2002, p. 1) that is associated with Taylorism. Closed systems theory includes related theories of Scientific Management, Administration Management, and Bureaucracy Theory dominant in the early 20th century and refers to "the underlying presumption that organizations are self-contained entities largely untainted by external forces or issues, and that efficiency is served by controlling internal activities" (Marion, 2002, p. 2). The power and influence of the individual perspective lingers in organizational management today where behavior modifications are thought to be altered through stimuli such as positive reinforcement, thereby achieving goals through a transactional relationship of rewards and punishments. This perspective is advocated by the Power-Coercive Planned Change school as well as the Culture-Excellence school, which is explained in more detail later in this chapter. The Power-Coercive Planned Change theory reflects a top-down leadership approach to "change that is enacted by fiat and enforced by coercion and sanctions" (Marion, 2002, p. 334), and the Culture-Excellence school recommends "the use of both strong individual incentives (external stimuli) and discussion, involvement, and debate (internal reflection) in order to bring about organisational change" (Burnes, 2004b, p. 263).

A second, influential perspective of organizational change management that continues to be taught to educational leaders and falls within closed systems theory is the Group Dynamics school or Human Relations perspective (Marion & Gonzales, 2014). This tradition was a

"counterpoint" to scientific management and sought to include workers with planning, decision making, and production processes, but may have been a "velvet glove" whose real effect was "enhancing managerial control to the ultimate detriment of worker welfare" (Marion, 2002, pp. 335-336). According to this perspective, change must be brought about by addressing group norms, roles, and values (Burnes, 2004b, p. 263). Burnes (2004b) writes,

> Rules or standards that define what people should do, think or feel in a given situation. . . . Roles are patterns of behaviour to which individuals and groups are expected to conform. . . . Values are ideas and beliefs that individuals and groups hold about what is right and wrong. (pp. 263-264)

Founder of the Human Relations school is Kurt Lewin (1947), whose planned approach to organizational change, including group dynamics, action research, and his renowned three-step model of organizational change dominated change leadership theory and practice from the late 1940s to 1980s. The three-step model includes the following steps: unfreezing, moving, and refreezing (Burnes, 2004a, pp. 985-986). Lewin's model was further developed by others, including Edgar Schein (Evans, 2010), and continues to influence the field after 70 years in Organizational Development (OD), Group Dynamics school's most recent form. In the last few decades Lewin's three-step model has fallen out of favor, due, in part, to the challenges presented to a planned approach of organizational change by rapidly changing contexts that leaders must now negotiate. (Burnes, 2004a; Evans 2010).

A third perspective to organizational change that has informed the field's theoretical development since the 1960s and is particularly important to the study of leading school expansion at independent schools is open-systems. As the name implies, it approaches organizational change from the entirety of an organization rather than at the individual level, and

assumes interaction with an influence by the external environment. Successful organizations are understood as holistic and a composition of interdependent and interconnected sub-systems that utilize environmental feedback mechanisms to determine internal structures and functions, and signal need for change (Marion & Gonzales, 2014, p. 75). Miller and Rice (as cited in Burnes, 2004b, p. 265) argue that four principal sub-systems exist: (a) organizational goals and values subsystem that is compatible with the external and internal environments; (b) technical subsystem of knowledge, techniques, and technologies; (c) psychosocial subsystem of organizational climate and culture; (d) managerial subsystem of responsibilities to lead the organization. The emergence of open systems "marks the beginning of the end to the notion that management and leadership is a science, with intuitive, one-size-fits-all prescriptions about efficiency or human relations" and accepts that "external social, cultural, and technological forces" play important roles as well (Marion & Gonzales, 2014, p. 85). While the open systems school has gained praise and attention for re-envisioning approaches to leading organizations in complex and dynamic environments, one challenge is its struggle to provide description and analysis that is useful to professional practice in a concrete, useful way (Burnes, 2004b, p. 265). Later in this chapter, Kanter, Stein, and Jick (1992), Kotter (1996), and Pettigrew and Whipp (1991) offer several approaches that address this challenge.

Three categories of organizational change. Leading change management theorists generally agree that the magnitude and frequency of organizational change is occurring at unprecedented rates, though differing opinions do exist, which have important implications regarding how management approaches organizational change. Three broad categories of organizational change found in the literature are the Incremental model, Punctuated Equilibrium model, and Emergent or Continuous Transformation model. As this study is particularly

interested in practical approaches to negotiating and successfully leading organizational change at independent schools, several well-known prescriptive approaches within the Emergent model are examined more deeply.

Since the late 1950s the Incremental change model has been one way for organizations to change, where individual parts work independently and incrementally to effect change. Quinn describes it as a way for organizations to "muddle through with purpose" through an iterative, consensus building approach (as quoted in Burnes, 2004b, p. 282). OD and the broader planned change approach to organizational transformation have been criticized on a number of fronts in the research literature, which Burnes (2004b) summarizes. Firstly, that OD developed specifically in response to the classical understandings of organizational behavior of top-down, autocratic, rule-based contexts of somewhat predictable and controlled environments that no longer apply to the complex and dynamic climates today. Secondly, that the planned approach is unable to adjust to "radical, transformative change" because of its incremental and isolated method. A third critique relates to the human relations roots of OD and the planned approach, which is based on assumptions that organizational change is a process engaged by interested and willing participants. Burnes (2004b) notes that planned change "is clearly much less applicable to situations where more directive approaches may be required, such as when a crisis, requiring rapid and major change, does not allow scope for widespread involvement or consultation" (p. 281). Lastly, advocates of OD and the planned approach believe that the method is applicable to all organizational changes, regardless of context. However, Burnes (2004b) writes that "Lewin never saw Planned change as being applicable to all change situations, and it was certainly never meant to be used in situations where rapid, coercive and/or wholesale change was required" (p. 281).

Punctuated Equilibrium represents a second category of organizational change whose advocates argue that organizations operate for longer stretches of time with incremental changes until there comes a point of "revolutionary upheaval" through rapid and fundamental change (Gersick, 1991). Rooted in the work of evolutionary history by Steven Gould and Niles Eldgredge, Punctuated Equilibrium became popular in the 1970s and 1980s and remains a theoretical model of interest today. By examining six theoretical fields of individual, group, organization, scientific, biological species, and grand theory, Gersick (1991) finds a common thread in that "systems evolve through the alternation of periods of equilibrium, in which persistent underlying structures permit only incremental change, and periods of revolution, in which these underlying structures are fundamentally altered" (p. 13). Though the theory has shown growth and prominence among research scholars in organizational change, little empirical research supports this model's arguments and validity. In their study of twenty-five minicomputer producers in the U.S., Romanelli and Tushman (1994) write, "Our findings strongly support the conclusion that revolutionary transformation is the most common mode of fundamental transformation" (p. 1162), though acknowledge "few aspects of the model have been tested formally" (p. 1141).

Continuous Transformation, sometimes referred to as Continuous Improvement or Organizational Learning, but commonly known as the Emergent approach to organizational change, represents a third category of change management, and figures prominently in the conceptual underpinnings of this study. In this model, the assumption is that organizations operate in unpredictable, radical, and rapidly changing environments where survival and success are determined by an organization's ability to nimbly adapt to highly dynamic contexts through continuous transformation. It is an open-ended process and typically understood as driven from

the bottom-up rather than top-down and is "messy, uncertain, and circular" (Louis, 1994, p. 4). Two prominent schools within this category are those of Complexity Theory and Culture-Excellence advocates.

Complexity Theory argues that organizations operate in non-linear systems, whereby successful organizations learn to make sense and order of the chaos by operating at its edge, constantly fine-tuning its operations by adjusting tactically and strategically. It emerged out of the 1960s as a byproduct of systems theory, math, and cybernetics, but has been viewed as applicable to physical and social systems in the 21st century (Jones, 2013). Whereas "systems theory explains the world as a vast interconnected system made up of many parts, Complexity Theory attempts to explain the phenomenon associated with the relationship and interconnectedness of those parts with each other and with the system itself" (Jones, 2013, p. 815). Organizations, like organisms, are complex and interact with unpredictable environments in self-organizing ways by self-maintaining, self-renewing, and self-transcending (Jones, 2013; Sungaila, 1990).

Despite its rise in popularity, especially in the past couple of decades, Complexity Theory, or Chaos Theory, is not without its critics, especially regarding its utility and application in educational leadership and organizational change. Galbraith (2004) calls for careful selection of criteria when applying Chaos Theory to leadership and management so as to avoid misplaced policies and actions resulting from misunderstandings about the nature of non-linear systems and chaos as "a fact of life rather than a mode appearing under certain, usually rare, circumstances" (p. 26). Similarly, Stickland and Reavill (1995), Stickland (1998), and Burnes (2004b) explain that additional work is needed to explore the suitability and applicability of concepts from the natural and physical sciences to social sciences, but that continued efforts in this area may lead to

"theoretical footing and ontological validity" to the methodology (Stickland & Reavill, 1995, p. 153).

Culture-Excellence represents a second major theoretical approach within the Continuous Transformation category of organizational change and refers to the idea that an organization's performance is determined by the quality, characteristics, and strengths of its culture. The Culture-Excellence school, with its focus on high performance, has gained strong proponents since the 1980s (Kanter, Kao, & Wiersema, 1997; Peters, 1997b; Peters & Waterman, 1982) and grew out of a response to counter Japanese competitiveness and managerial techniques that focus on high quality. It has been one of the most influential approaches to leading organizations in recent decades. Peters and Waterman's (1982) popular 7-S Framework developed while working at McKinsey and Company (2016), "maps a constellation of interrelated factors that influence an organization's ability to change" (Enduring Ideas, para 3). The 7-S Framework includes strategy, structure, systems, staff, style, shared values, and skills. Kanter (1989) argues that corporations must create synergies, entrepreneurial enclaves from within that promote innovation, and strategic alliances or stakeholder partnerships from within to stretch organizational capacities. Her model of how to approach organizational change is discussed further, later in this chapter. Prominent advocates of the Culture-Excellence school argue for continuous transformation, similar to the Japanese *kaizen* concept of continuous improvement that became popularized in the 1980s with the rise of its "miracle economy" and interest in Japanese management techniques. Peters (1997a) notes an example of continuous transformation at 3M corporation where workers are permitted to spend up to 15 percent of their time to work on projects of their liking without informing managers (p. ix), reflecting the "FedEx Day" at Atlassian Corporation, more recently,

where workers are given one full day to work on anything they want as a way to promote innovation (Pink, 2011).

Despite its rise to prominence as a leading way to manage organizations in the U.S. and Europe, the Culture-Excellence school has received criticism related to research methodology and theoretical foundation. Carroll (1983) is critical of the "conceptual and research underpinnings" (p. 78) of Peters and Waterman's (1982) book, *In Search of Excellence*, while Peters, himself, reveals that empirical data were "faked" (Kellaway, 2001, Dec. 3). Additionally, three main areas of concern relate to how the Culture-Excellence approach fails to fully explain how people, politics, and culture operate within an organization (Burnes, 2004b). For example, while the emphasis is on people, teamwork, and positive organizational culture, the focus on excellence combined with scarce resources and political power exacerbates a competitive culture that leads to conflict rather than cooperation. Moreover, like other schools of thought, advocates of Culture-Excellence assume a one-size-fits-all culture for any organization, regardless of size, environment, and other circumstances and contexts. Like Complexity Theory, there are calls for more sound empirical evidence to support their claims. With regard to change management, specifically, Burnes (2004b) writes that the Culture-Excellence school "has little to say about how change should be achieved, despite acknowledging the radical transformation it is advocating" (p. 138).

Nevertheless, the Emergent school's attention to organizational structure, culture, and learning in the process of continuous transformation has helped make it the dominant approach of organizational change since the decline of the planned approach in the 1980s (Burnes, 2004b). The theory centers on conceptualizing organizational change as a process that emerges through an interplay of political, cultural, and contextual variables rather than a single event (Dawson,

1997, 2003; Pettigrew, 1997; Ropo, Eriksson, & Hunt, 1997). This interactive process is messy, non-linear, circumstances-influenced, holistic, unpredictable, interconnected internally and externally, and emergent. The Emergent school rejects prescriptive change processes and recipes for change such as the planned approach, or Total Quality Management (TQM) (Deming, 1986; Sallis, 2002), because they eschew the complexities of the process for simplified steps and techniques. Key assumptions of the Emergent school are that the model is more suitable to the turbulent, dynamic, and unpredictable environments in which organizations find themselves needing to continuously engage in a process of aligning and re-aligning themselves. The "reciprocal relationship" between an organization and its environment means that leaders must cultivate cultures of learning to adapt to the dynamic and unpredictable environments to survive and grow (Burnes, 2004b, p. 295).

Three models of organizational change. Despite considerable debate among proponents of the Emergent school over what is the most appropriate approach to organizational change or even if prescriptive steps to organizational change are recommended, key features arise as important factors to the relative success or failure of this type of change: structures, cultures, organizational learning, managerial behavior, and power and politics (Burnes, 2004b, p. 298). Key theorists address these features through differing approaches to organizational change. Amidst this debate, several models of organizational change stand out as particularly having currency in change management, and one that has stood prominently as a model for leadership in recent decades. So despite aversion to prescriptive, recipe-driven approaches to change by some Emergent theory leaders (Pettigrew & Whipp, 1991), proponents offer processes as an attempt to provide pragmatic pathways to overcome resistance and effect organizational change in dynamic, unpredictable environments.

The first of these Emergent school models that this study examines is by Pettigrew and Whipp (1991), who, by studying firms in the four sectors of auto manufacturing, book publishing, merchant banking, and life insurance, observed five interrelated factors central among higher performing firms with regard to leading organizational change. These interconnected factors are the following:

Five Central Factors for Managing Strategic & Operational Change

1. Environmental assessment
2. Leading change
3. Linking strategic and operational change
4. Human resources as assets and liabilities
5. Coherence. (p. 106)

Pettigrew and Whipp (1991) write that organizations are "bounded by the environment within and outside the firm" and therefore must become "open learning organizations" (p. 105). The process of environmental assessment requires critical analysis and judgment that is shaped by the prevailing logics of the industry and it occurs across the organization (pp. 114-117). A primary conditioning feature of leading organizational change is preparing a climate for change, then setting the course prior to taking action (p. 107). Pettigrew and Whipp (1991) explain:

> Leading change in order to compete is not understood by reference to universal principles carried out by an exceptional individual. More effective in leading change appears to be: the use of varying leadership approaches over time; a combination of practices to address shifting competitive circumstances; the recognition that leader and context will affect each other reciprocally; and the use of operational leaders at all levels in the firm. (p. 145)

Pettigrew and Whipp's (1991) research discovered:

> Successful companies . . . show that so-called decisive action by their leaders was in many ways more apparent than real. Time and again the companies revealed how extensive preparatory work facilitated short-term acts. These included the less visible asset in leading change of taking time in fashioning the company's precise competitive choice, creating a capacity for effecting the required changes, and legitimating such acts before undertaking them. These conditioning devices then enabled the full potential of other mechanisms subsequently used by leaders to be released. (pp. 145-146)

In successful organizational change, the link between strategic and operational change is a two-way process that is "intentional and emergent" in which "strategies often amount to the after-the-event labeling of such unpredictable sequences of 'successful' operational acts" (Pettigrew & Whipp, 1991, p. 107). The process of implementing intentions is fluid, iterative, and evolving. Competitive performance and the ability of a firm to successfully enact organizational change depend on the knowledge, skills, and attitudes found in its human resources. The quality of an organization's human resource management, therefore, can mean the difference between this resource being an asset or liability, and the success or failure of effective change process. What is critical is "the extent to which a company's knowledge base matches changing competitive conditions" and "how those within a firm collectively change their values and shared mental models of their company and markets" (Pettigrew & Whipp, 1991, p. 238). Coherence in the management of change relates to an organization's need to ensure the other four factors complement and reinforce each other in a strategy that is characterized by "consistency (not present inconsistent goals); consonance (by an adaptive response to its environment); advantage

(provide for the maintenance of competitive advantage); and feasibility (the strategy must not create unsolvable problems)" (Pettigrew & Whipp, 1991, pp. 107-108). Mechanisms that support these elements include the development of the leadership team, links between operational and strategic action, the generation of an appropriate knowledge base, and the capacity to maintain inter-organizational linkages (Pettigrew & Whipp, 1991, p. 244).

Pettigrew and Whipp (1991) found that one of the main characteristics of the firms that they studied is that organizational change management is an "uncertain and emergent process" (p. 108) and leading the process involves action by people throughout the organization at every level. The authors conclude their study: "Our central finding in relation to leading change is that there are no simple universal rules which arise. In fact the reverse is true. Leadership is acutely context sensitive" (p. 280). This finding echoes that of Firestone and Corbett (1988), who, after surveying the research literature concerning organizational change in schools, concluded, "*There are no universal rules for changing organizations* [italics in original]" (p. 333). Pettigrew (2000) acknowledges that building organizational capacities in contexts that are less time-sensitive may call for an Emergent approach, while situations in which the external environment exerts urgencies for time-sensitive, system-wide change, may call for planned, and bold change. However, hasty, bold actions can be costly and dangerous without first building a climate for change.

Kanter, Stein, and Jick (1992) offer a second change management approach within the Emergent school that has been well received in the business community. They recognize that change is "extraordinarily difficult" and that the process advances if and when a delicate balance is reached among key players (p. 370). Moreover, they acknowledge that change processes involve some form of a three-step process outlined by Lewin (1947) that involves "unfreezing,"

"changing," and "refreezing." These scholars identify a "Big Three" in the change process—three kinds of motion, three forms of change, and three types of roles (Kanter et al., 1992, pp. 14-17). The three kinds of movement relate to the dynamic nature of the organization operating in relation to the broader environment that are "macroevolutionary," the developmental and "microevolutionary" motion of an organization's internal components as it passes through a lifecycle, and the "revolutionary" struggle for power and authority within the political dimensions. The three basic forms of change are those of identity, coordination, and control. Identity changes refer to those that occur between the organization and its external environment and are macroevolutionary in the sense that the organization may respond to environmental pressures to reformulate their relationship in the dynamic by changing their products, services, and delivery methods in order to endure and thrive. Coordination changes involve those impacting the functioning of an organization's parts and activities and relate to its size and structure. These may take the form of microevolutionary changes and reveal themselves as the organization grows and ages. Changes in control deal with the political realm of interests, power, and governance. This type of change can be revolutionary, especially if it is one of "makeover through takeover" (Kanter et al., 1992, p. 15).

Lastly, the three action roles in the change process are the change strategist, change implementer, and change recipient (Kanter et al., 1992, pp. 16-17). Whereas the change strategist is usually the responsibility of top leaders and is concerned with the intersect between the macroevolutionary forces of the external environment and the organization, change implementers are responsible for the execution and coordination of change within the organization. Though not necessarily so, the change recipients are those typically at the bottom of an organization and must adopt and adapt to the change. Much of the resistance to

organizational change emerges among the three groups due to a "disjunction" between those directing and implementing change, as well as differing assumptions, values, goals and interests of the recipients (Kanter et al., 1992, p. 17).

Kanter et al. (1992) provide a set of tactics "that have become standard operating procedures for any organization attempting to achieve significant organizational change" (pp. 382-383). These change tactics are embodied in the following process:

The Ten Commandments for Executing Change

1. Analyze the organization and its need for change
2. Create a shared vision and common direction
3. Separate from the past
4. Create a sense of urgency
5. Support a strong leader role
6. Line up political sponsorship
7. Craft an implementation plan
8. Develop enabling structures
9. Communicate, involve people, and be honest
10. Reinforce and institutionalize change. (p. 383)

Kanter et al. (1992) identify "bold strokes" and "long marches" as two distinct types of approaches to organizational change where leaders apply the tactics enumerated in the Ten Commandments (pp. 492-495). Bold strokes refer to strategic, system-wide decisions on major organizational initiatives. These tend to be quick, decided at the top, have clear acts with impact, yet have unpredictable results and unchanged organizational habits and culture long-term. Organizational habits imply influence by the character, mechanisms, standards, processes and

procedures rooted in its culture. Long marches concern operational initiatives and require the support of the organization as a whole over a long period of time and are much more challenging. The long marches tend to be slow, initiated throughout the organization, and with lower levels of direct influence by top leadership. Kanter el al. (1992) explain that the long marches "simply cannot be done by fiat" (p. 493), but that with patience and persistence, leadership can realize dependable results where organizational habits and culture do change in the long run. Both bold strokes and long marches are actions needed by organizations and complement each other, though firms frequently choose one approach over another for a variety of reasons. These reasons go beyond leadership styles and an organization's resources, the external environment, as well as its disposition to dealing with problems in certain ways.

A third model of organizational change that has garnered significant attention and discussion over the past two decades among academia and business circles for its clarity and ease of transferability to practical use is Kotter's (1995, 1996) Eight-Stage Process of Creating Major Change. Executive leadership finds relevant the concise, concrete, and detailed steps of how to lead organizational change in a highly dynamic and evolving environment. Kotter (2016) asserts that 70% of all attempts at major organizational change initiatives fail and explains that this happens for eight key reasons (1996):

Common Errors to Change Initiatives

1. Allowing too much complacency
2. Failing to create a sufficiently powerful guiding coalition
3. Underestimating the power of vision
4. Under-communicating the vision by a factor of 10 (or 100 or even 1,000)
5. Permitting obstacles to block the new vision

6. Failing to create short-term wins

7. Declaring victory too soon

8. Neglecting to anchor changes firmly in the corporate culture. (p. 16)

Kotter (1996) explains that there are consequences to common errors when implementing change initiatives:

Consequences of the Errors

1. New strategies aren't implemented well

2. Acquisitions don't achieve expected synergies

3. Reengineering takes too long and costs too much

4. Downsizing doesn't get costs under control

5. Quality programs don't deliver hoped-for results. (p. 16)

In their survey of the research regarding change initiatives that have failed in schools, Firestone and Corbett (1988) discovered three emergent patterns that overlap somewhat with Kotter's lists of errors and consequences: (a) the change initiative was not implemented with fidelity; (b) unintended side-effects negated desired outcomes; (c) the initiative was implemented effectively, but the strategy just did not have the desired effect (p. 333). To address the common errors and their consequences, Kotter (1996) offers the following organizational change process:

Eight-Stage Process of Creating Major Change

1. Establishing a sense of urgency

2. Creating the guiding coalition

3. Developing a vision and strategy

4. Communicating the change vision

5. Empowering broad-based action

6. Generating short-term wins

7. Consolidating gains and producing more change

8. Anchoring new approaches in the culture. (p. 21)

Similar to Lewin (1947) and Kanter et al. (1992), Kotter (1996) divides up the change process into three stages where the first four steps help to "defrost" the status quo, steps five through seven introduce and implement the change effort, and step eight is where the change "sticks" with the organization's culture (p. 22). The model is a process that follows a sequence that if engaged "in any order other than that shown . . . rarely works well" (Kotter, 1996, p. 24). The below section cites Kotter (1996) in outlining his process.

In the "defrost" stage of the Eight-Stage Process, organizations must first overcome complacency by creating a sense of urgency. As a rule of thumb Kotter argues that leaders should "*never underestimate the magnitude of the forces that reinforce complacency and that help maintain the status quo* [italics in original]" (p. 42). When necessary, leaders should create a crisis. Second, leaders must create coalitions for change because the business environment today demands larger scale changes, where decision making is complex, occurs more quickly, and no one individual has all the information, credibility, or time required to effect change. Leaders must find the right people, create trust, and develop a common goal. Building coalitions requires the essential components of position power, expertise, credibility, and leadership, and avoidance or careful management of those individuals with large egos or "snakes" who create mistrust that kills teamwork. Leaders must then develop a vision and strategy, the third step in the change process. Vision "refers to a picture of the future with some implicit or explicit commentary on why people should strive to create that future" (p. 68) and is often simple and mundane, though key to guiding successful organizational transformations. Visions clarify through simplicity,

motivate actions in the right direction, and help coordinate and align behaviors efficiently. Effective visions are imaginable, desirable, feasible, focused, flexible, and communicable, but having no vision may be better than an ineffective one. Vision is the responsibility of leadership, not management, and the two are not the same. Communicating the change vision is the fourth and final step in unfreezing the organization and preparing them for transformational change. Key components to this process include (a) simplicity; (b) metaphor, analogy, and example; (c) multiple forums; (d) repetition; (e) leadership by example; (f) explanation of seeing inconsistencies; (g) give-and-take. If people do not embrace the vision, the next two phases of the change process will fail (p. 90).

According to Kotter (1996), phase two of initiating major organizational change begins with empowering employees for broad-based action by eliminating barriers that prevent transformation. Leaders need to communicate a sensible vision to employees; remove structural barriers within the organization so that it is compatible with the vision; provide needed training to develop skills, behaviors, and attitudes to empower employees; align personnel and information systems to the vision, which includes initiating the process of changing the organization's culture; and confront supervisors who undercut change efforts (p. 115). The sixth stage in the sequence requires leaders to generate short-term wins. Effective wins are characteristically visible, real, unambiguous, and clearly related to the change effort (pp. 121-122). They play important roles to the change process as they (a) provide evidence that sacrifices are worth it; (b) reward change agents with a pat on the back; (c) help fine-tune vision and strategies; (d) undermine cynics and self-serving resisters; (e) keep bosses on board; (f) build momentum (p. 123). Successful organizational transformations are results of a balance of both effective leadership and management, where management is defined as "Systematically targeting

objectives and budgeting for them, creating plans to achieve those objectives, organizing for implementation, and then controlling the process to keep it on track" (p. 128). Achieving short-term wins, leaders then need to consolidate gains and produce more change—the seventh and last stage of the change process. Until the change is solidified in the organization, it can slip away due to corporate culture and increased interdependence created by the rapidly changing environment in which changing one thing means changing everything (p. 133). In this stage, successful change appears as (a) more change by building on short-term wins and increased credibility so as to tackle additional change projects; (b) more help from additional people through promotions, personnel development, and outside hires; (c) leadership from senior management focusing on clarity of shared purpose for the overall effort and keeping urgency levels up; (d) project management and leadership from lower ranks in the hierarchy; (e) identification and elimination of unnecessary interdependencies to ease change processes (p. 143).

The last phase of the Eight-Stage Process involves making the change "stick" by anchoring the new approaches in the organizational culture. Kotter (1996) defines culture as:

> Norms of behavior and shared values among a group of people. *Norms of behavior* are common or pervasive ways of acting that are found in a group that persist because group members tend to behave in ways that teach these practices to new members, rewarding those who fit in and sanctioning those who do not. *Shared values* are important concerns and goals shared by most of the people in a group that tend to shape group behavior and that often persist over time even when group membership changes. (p. 148)

Culture plays a powerful role in organizations because (a) individuals are selected and indoctrinated purposefully; (b) the culture manifests itself through the actions of all employees;

(c) behaviors occur unconsciously and thus are challenging to discuss or counter (p. 151). Though shared values are less apparent, they are more difficult to change than norms of behavior because they are embedded in the culture. Anchoring change in the organization's culture is the critical last step of major change and without follow-through, the entire process can come undone. Anchoring change in a culture: (a) comes last, not first in a transformational process as it involves alterations in norms and shared values; (b) depends on results as employees recognize the change as superior to old approaches; (c) requires a lot of talk, including instructions and support before individuals admit the soundness of the change; (d) may involve turnover due to incompatible cultural differences; (e) makes decisions on succession crucial because if promotion processes remain unchanged, the old culture will reassert itself (p. 157).

Leadership Practice as Personal Theory of Change

In addition to formal theories of organizational change, there is the concept of a practitioner's personal ideas of how and why change should occur. On one end of the spectrum, this approach may be described as "shooting from the hip," implying decision making based on a whim or following no formal, structured, empirically-tested thought process to achieve some desired result. On the other hand, it may also be recognized as a practitioner's "personal theory of action," connoting a decision making process based on an accumulation of experience and knowledge, whose effectiveness is reflective of the quantity and quality of the individual practitioner and contexts to which this body of knowledge and experience is applied. Jarvis (1999) makes the case for a reconceptualization of theory such that personal theory is recognized as significant and that there is a process from practice to theory and from theory to practice. He argues, "All practitioners generate their own personal theories, and that apparently objective

knowledge of traditional theory is no more than information to be learned and experimented with in practice" (xii).

Practical knowledge. Interest in and questions about the value and place of practitioner's practical knowledge as research and how it relates to application in professional practice emerged in earnest in the late 1980s and 1990s as an academic agenda item (Jarvis, 1999; Piccini & Kershaw, 2003; Schön, 1983) and continues today (Humphreys, Berridge, Butler, & Ruddick, 2003; Osterman, Furman, & Sernak, 2014; Yu, 2011). Nyíri (1988) explains, "Practical knowledge encompasses, or serves as a foundation for much of what we know," and "such knowledge appears to be tacit, non-propositional, and indeed inarticulable" (p. 19). Jarvis (1999) summarizes the practitioner's practical knowledge as (a) a combination of process knowledge and content knowledge, which includes relevant knowledge of the academic disciplines that underlies practice; (b) integrated knowledge; (c) dynamic only as long as it works; (d) not an academic discipline in the same way as the sciences or the social sciences; (e) habituated, which can engender a form of traditionalism and conservatism; (f) personal and qualitative that has been legitimated in practice (pp. 46-47). Therefore, practical knowledge is an overlapping of content knowledge, beliefs and values, process knowledge, and tacit knowledge.

Indeed, expertise is gained not just through explicit knowledge found in schools and texts, but through experience. Feigenbaum and McCorduck (1984) observe that tacit, practical knowledge gained through trial and error is absorbed over time to build "a repertory of working rules of thumb, or 'heuristics,' that, combined with book knowledge, make them expert practitioners" (as cited in Nyíri, 1988, p. 20). Jarvis (1999) agrees that tacit knowledge is "learned from experience, either preconsciously—that is, without having entered the conscious mind—or consciously," and that "the very essence of tacitness is pragmatic" (p. 48). It is also

biographical, sophisticated, and uniquely subjective where the practitioner cannot articulate the how or the why. Feigenbaum and McCorduck (1984) recognize that this knowledge is "hardest to get at because experts—or anyone else—rarely have the self-awareness to recognize what it is. So it must be mined out of their heads painstakingly, one jewel at a time" (as cited in Nyíri, 1988, pp. 20-21). Evans (2010) calls this practical knowledge demonstrated in change leaders as "savvy," meaning:

> Having a practical, problem-solving wisdom, a general capacity to "handle things." It includes intangibles like having a good nose for problems, being able to read people, and knowing what makes a good solution to a dilemma. Savvy is a product of professional experience, learned skills that come with years of practice, but also of life experience, native intelligence, and common sense. It is one part of what I call authentic leadership. Its companion is integrity, a fundamental consistency between one's values, goals, and actions, a willingness to preach what one believes and practice what one preaches. (p. xi)

Efforts to define practical, practitioner knowledge within academia, remains indeterminate. Nyíri (1988) explains this challenge:

> Practical knowledge and knowledge embedded in tradition are kinds of knowledge that seem to lie outside the domain of reflection or reasoning; both presuppose an epistemological subject whose activity encompasses more than the life of pure cognition—a subject to whose make-up there belong essentially traits other than the purely mental. (p. 17)

Huberman (1990) echoes this sentiment writing that "the basic assumptions of conceptually-informed discussions among practitioners are simply not met in the conventional culture of the

school building" and as a result, the quantity of such research knowledge actually informing practice is "thin" (p. 366). As research concerns the production, dissemination, and use of knowledge, at the heart of the dichotomy dividing scholars and practitioners, "theory and practice" (Pettigrew et al., 2001), or "two communities" (Huberman, 1990) relates to what Ryle (2009) describes as "knowing how" and "knowing that." Similar to Ryle, Jarvis (1999) distinguishes the practitioner's knowledge as "knowledge how," or process knowledge attained on the job, rather than as "knowledge why," which is professional content knowledge attained formally in school. Recognizing the implications of this divide, Jarvis (1999) observes, "The moment I leave practice, however, for whatever reason—including to teach it—I cease to learn from it and begin to learn about it, and my expertise gradually deteriorates" (p. 46). The growing body of literature on "knowing how" suggests acknowledgement, validation, democratization, and legitimization of this form of socially constructed knowledge and the blurring of roles distinguishing "practitioner" and "academic" (Piccini & Kershaw, 2003).

In general, knowledge can be legitimated in three ways: rationally, empirically, and pragmatically (Jarvis, 1999). Legitimization rooted in rational thought relies on pure reason such as philosophy or math while that based on empirical means relies on sensory experiences of a tangible phenomenon. On the other hand, practical knowledge is legitimated through experience, and if the results of an experience change depending on the context, the knowledge is no longer held to be true. Jarvis (1999) writes, "It implies that there is nothing other than the practice itself—there may not be a generalizable truth or an empirical reality underlying it" (p. 42).

The focus of knowledge production and validation in organizational change is frequently on the question of "What works?" rather than on "What works, how?" and "What works, for whom?" What is the theory of change for independent schools expanding? Is it suggested in the

robust literature on organizational change or, perhaps, it is grounded in personal theories of action sourced from wells of knowledge, skills, and dispositions that are context dependent and whose mechanisms, conditions, and risks are revealed in their logic model and manifested in their principles?

Action research. Lewin (1946) is credited with coining the term "action research" in social science research, which seeks to bridge the gap between research and application, between theory and practical use. Action research was to achieve the twin goals of advancement of knowledge and improvement of a local situation (Sommer & Sommer, 2002) through an iterative process that "proceeds in a spiral of steps each of which is composed of a circle of planning, action, and fact-finding about the result of the action" (Lewin, 1946, p. 206). Building on the work of Argyris and Schön (1974, 1978), Argyris (1995) describes "action science" as finding solutions to problems in everyday life and evaluating their effectiveness. Herr and Anderson (2015) refer to this iterative process as a cycle of "plan-act-observe-reflect" where a major goal of action research is to "generate local knowledge that is fed back into the setting" (p. xiii). The process involves the participants in the study working in collaboration with the researcher and thus shifts the locus of authority and power from the academician to the group. For this reason, action research and its various forms may be referred to as participatory research, participatory action research, collaborative research, practitioner research, action science, applied critical leadership, cooperative inquiry, self-study, empancipatory praxis, community-based participatory research, advocacy activist, evaluative inquiry, developmental action inquiry, collaborative management research, and reflective practice, among others (Herr & Anderson, 2015; Jarvis 1999; Osterman et al., 2014; Sommer & Sommer, 2002).

With the evolution of action research and its various forms, there are also many definitions, though most researchers agree that action research "is inquiry that is done by or with insiders to an organization or community, but never *to* or *on* them [emphasis in original]" (Herr & Anderson, 2015, p. 3). For the purposes of this study, however, Carr and Kemmis (1986) provide a definition that more closely reflects the practitioner as change agent attempting to apply practical knowledge in the workplace:

> Action research is simply a form of self-reflective enquiry undertaken by participants in social situations in order to improve the rationality and justice of their own practices, their understanding of these practices, and the situations in which the practices are carried out. (p. 162)

Through his studies in business and minority issues, Lewin (1946) believed that action research would improve professional practice in management and public leadership by leading to direct action, commenting, "Research that produces nothing but books will not suffice" (Lewin, 1946, p. 203). Still, half a century later, Jarvis (1999) points out a continued need to bridge the gap, writing, "Practitioners seldom read the research literature because it was not written for them—it was written for other researchers" (p. 94).

Through collaboration, action research allows for the reflective practitioner to assess, formulate, and enact studies to resolve local problems in the workplace such as organizational change. Moreover, because practice is an ephemeral phenomenon, "Practitioner-researchers are more likely to be in a position to pose the right questions for research than individuals coming from the outside to investigate on a small-scale basis" (Jarvis, 1999, p. 96). Action research would be and has been demonstrated to be an appropriate and influential approach to studying

organizational development (Sommer & Sommer, 2002, p. 216), and "organizational change efforts" (Osterman et al., 2014, p. 101).

One of the great challenges of action research is that it is poorly understood, in part, because of the plethora of definitions and forms, particularly in education and leadership (Jarvis 1999; Osterman et al., 2014; Ritchie, 2007; Yu, 2011). Investigating the relationship between and extent to which education research informs education practice, Yu (2011) discovered that no prior synthesis studies of the literature existed on the researcher-practitioner relationship in qualitative educational research publications. In the extant literature, Yu (2011) found a limited number of empirical studies published on the researcher-practitioner relationship and sometimes contradictory description and understanding of their collaboration. Due to the dearth of publications by educational leaders in their work places, Osterman, Furman, and Sernak (2014) write, "If the potential for action research as an effective method of inquiry for educational leaders is to be realized, more information is needed" (p. 89).

Other challenges and criticisms of action research relate to a lack of standardization and consistency, the preponderance of case studies which make theory generation challenging, and perceptions influenced by dominant research paradigms that question its methodological legitimacy and supposed trade-off between scientific rigor and relevance to participants needs (Osterman et al., 2014; Sommer & Sommer, 2002). Jarvis (1999) acknowledges that action research may appear "anecdotal" versus traditional research because the intent is "to understand, rather than control, the conditions in which the practice occurs" (p. 99), but warns of the limitations of research that seeks to artificially control human action. Similarly, Osterman, Furman, and Sernak (2014) counter perceptions of inferior methodological approaches alleged in action research as it meets "basic standards for scientific rigor, in that it defines and interprets

problems within the context of previous research and literature, uses rigorous methods for data collection and analysis, and tests and evaluates the action outcomes of the study" (p. 100), though not necessarily from a decidedly positivist view.

As practical knowledge, and the nature of knowledge, itself, is subjective and incomplete, the action researcher must be reflexive, acknowledging one's positionality, and tolerant of the realities of this approach over dominant research methodologies, realizing the value in this approach's production of knowledge. "Indeed, the more traditional research methods cannot research a great deal of the personal and transitory facets of practice that action research can record about the nature of practice and the practitioner," explains Jarvis (1999, p. 99). He continues, "Practical knowledge, however, might be regarded as a new aspect of theory, a personal theory of practice" (p. 144). It is within this reflective space that the practitioner sublimates practical knowledge into personal theories of action and organizational change.

Theory of action. Research and theory have long been the domain of academia though rapid changes, innovations, and breakthroughs in the world have blurred the boundaries between both. Since the groundbreaking work of Lewin (1946) in action research, Argyris and Schön (1974, 1978) have developed the concepts of "espoused theories of action" and "theories-in-use." An espoused theory of action is one that an individual "gives allegiance, and which, upon request, he communicates to others;" a theory-in-use, however, is "the theory that actually governs his actions" (Argyris and Schön, 1974, p. 7). There has been increasing interest and desire to create work-based approaches and theories to address emerging problems of practice. Jarvis (1999) writes,

> The fact that practice is a locus of change means that learning and researching practice are essential for practitioners in novel situations; they may not have sufficient knowledge

> to act with complete confidence in such situations, and no theory exists about these situations—practice must precede theory in such instances if the theory is to appertain directly to the practice. (p. 30)

Through reflexive, reflective habits, educational leaders of change management become practitioner-researchers consciously or unconsciously, who develop personal theories of action or "theories in use" (Argyris, 2000). Pogrow (2015) describes educational leadership decision making determined by a personal theory of action as theory "based on accumulated experiential data" that is highly specific and detailed, but can also be flimsy on account of exaggerated consistencies of performance and skill and the underestimated role of luck (p. 16). Pogrow explains that even though personal theory of action "does not have a name and will never be published" (p. 16), "there is absolutely no empirical evidence that education practices and decisions based on academic theory produce better results than those that are not" (p. 13). Mintzberg (1980, 1990) concludes that despite the research literature, management decision making is in fact based more on experience and intuition than planning and careful reflection; a form of art rather than science.

Because practice is transitory, Jarvis (1996) argues that for those practitioner-researchers actively examining their work, the "research into practice must take the form of qualitative case studies" (p. 77). Moreover, any theory emerging from practice must acknowledge the nature of practice. Jarvis (1996) describes the nature of practice as:

Characteristics of the Nature of Practice

- Practice is transitory rather than empirical and unchanging
- Knowledge about practice cannot be measured
- Practice is a personal and subjective phenomenon to the practitioner

- Precise events can never be repeated, so each practice situation is unique
- To understand practice fully, it is necessary to undertake qualitative research
- Any research undertaken about practice can only be a snapshot of the events that occur when the research takes place. (pp. 30-31)

Any published data from research must be treated from a historical perspective, as something relevant to the time when the research was undertaken. Understanding the nature of one's practice, the educational leader is better situated to know when to trust a personal theory of action for decision making such as organizational change. Pogrow (2015) argues that change leaders need to read the original research studies of interventions and carefully examine characteristics of approaches used, but there are three situations when a personal theory of action may be more reliable than available research: (a) when the context of research is very different than your school(s); (b) research results are strictly from very short term, highly proximal research; (c) there is no research (p. 94).

What practitioners develop as their own theory of action or change, Jarvis (1999) also calls a "personal theory of action" or simply, "practical knowledge." To clarify, he explains the distinctions of the nature of theory related to practice by presenting the following definitions:

Four Formulations of Theory Related to Practice

- Personal theory of practice (theory as knowledge)—practical knowledge, including both process and content
- Theory of practice (theory as information)—combination of both integrated knowledge of the process and content knowledge; both become integrated into personal theory when they have been tried and found to work in practice

- Theory about practice (metatheory as information)—based in the academic disciplines and making of claims of practicality
- Theory of and about practice (knowledge learned but not tried out in practice)—learned cognitively from both forms of information. (p. 145)

Personal theory of practice refers to practical, pragmatic knowledge that is flexible, driven by the demands of practice, and results in social constructs (Jarvis, 1996, p. 145). Jarvis writes, "Personal theory consists of fully integrated knowledge that combines learning from doing and thinking about practice with learning from other information sources, such as content knowledge learned from metatheory" (p. 145), which "is knowledge about practice and interpretative, and in this sense cannot, and should not, be applied directly to practice" (p. 167). Theory of practice describes knowledge of the "professional curriculum or body of knowledge, provided to new entrants to a profession or occupation and may also form part of a continuing education" (pp. 145-146). Similar to theory of practice, theory about practice includes the professional curriculum and aggregate body of knowledge as "information stemming from the academic disciplines and driven by the internal logic of the discipline rather than by the exigencies of practice" (p. 146). It is knowledge that is relevant, but not directly applicable in practice. Theory of and about practice refers to academic knowledge whose legitimacy relies on the authority of the source of the information, the logic of the information, or by learner reflection (p. 147).

According to Jarvis (1999), if learning "is therefore the process of creating and transforming experience into knowledge, skills, attitudes, values, emotions, senses, and beliefs," (p. 40), then theory creation and dissemination is no longer a function or in the domain of the elite in academia. Jarvis recognizes the distinction between information versus knowledge as important in this information society and, more importantly, knowledge-based society where

knowledge is power. Jarvis (1999) clarifies, writing, "Knowledge is subjective, information is not" (p. 147). One's personal knowledge becomes another's information. While what is taught and learned in school is important, it may just constitute knowledge of the past, or rather, information.

Practitioner as organizational change expert. The call for greater influence of practitioner expertise within business and educational circles reflects a flattening of knowledge production and the recognition of practitioner leaders as organizational change experts. Pettigrew et al. (2001) write,

> Never was a field of research such as organizational change better placed to deliver combinations of "what is" and "how to" knowledge. But the "how to" knowledge is a question of not just the more rigorous exposure of continuous change processes through time and in context, but also of a more sophisticated and demanding engagement with practice. (p. 709)

The authors argue that the "duality" of theory and practice creates a more rigorous, complex, and comprehensive standard for understanding organizational change, supporting Woodman's (1993) argument that no greater obstacle exists to effective change management than the divide between the science and art of organizational change. Pettigrew et al. (2001), call for conceiving scholars and practitioners as coproducers and codisseminators of knowledge in order to overcome the hurdle of scholarship and relevance, and "transcend" current beliefs of scholars and practitioners. Increased engagement between scholar and practitioner suggests an acknowledgement that knowledge "derives not just from individual thought but from collective processes of networking, negotiation, interpersonal communication, and influence" (Pettigrew et al., 2001, p. 705). This strikes a similar chord in the fields of social work, where Humphreys, Berridge, Butler, and

Ruddick (2003) describe "knowledge-based practice" as a result of research, practitioner wisdom, and service-users.

Effecting change without a deeper understanding of the mechanisms, practices, and processes required of leaders may not actually result in meaningful and lasting change. Fullan (2013) writes that "without a good theory, all you can do is acquire techniques—surface manifestations of the underlying real McCoy. You can borrow or steal a technique, but never a philosophy or culture" (p. 217). Indeed, Evans (2010) disagrees with business management and leadership guru, Jim Collins (2001), and is critical of the technical view of leadership, describing it as a "list of functions approach," including an inventory of capacities, skills, and techniques that are deemed essential to success (p. 9). Instead, Evans finds that successful organizations have leaders with a wide variety of styles who all have common characteristics of self-knowledge and commitment. Emphasizing the value of practical knowledge of the practitioner, Evans explains, "In leading, as in so much of life, there is simply no substitute for actual experience; those who haven't done it can't truly know what it its like" (p. 20). Doyle (2002) concludes similarly, that agents of organizational change are "qualified by experience (QBE)" through an experiential process of trial and error, "learning by doing," and reflection. While formal training and management education have value in helping to provide knowledge and technical skills, they alone are insufficient to execute change successfully. Doyle (2002) claims that "change expertise can only be derived from real-world experience and learning" to know when to apply the appropriate tools and approaches in the appropriate change contexts (p. 470). Organizations that fail to recognize this suffer inefficiencies, higher costs, and increased risk (Doyle, 2002).

In *Change Theory: A Force for School Improvement*, Fullan (2006) argues that change theories frequently do not work, that "theories in use" (Argyris, 2000) must be made more explicit in order to become "theories of action," and that initiatives are dependent on conditions and contexts. Fullan (2006) argues that there are seven premises that undergird practitioners' use of theories of action with merit:

Seven Core Premises of Theory of Action

1. A focus on motivation
2. Capacity building, with a focus on results
3. Learning in context
4. Changing context
5. A bias for reflective action
6. Tri-level engagement
7. Persistence and flexibility in staying the course. (p. 8)

Similar to Lewin (1947), Kanter et al. (1992), and Kotter (1996), Fullan (2006) argues that change is not possible without a focus on motivation, the first premise. All other premises are related to motivation because the failure to motivate the organization results in failed change efforts. The second premise relates to building the capacities of the individuals and group as a whole concerning knowledge and competencies, resources, and motivation. The third premise recognizes a need for building a culture of learning in context, while the fourth, an ability of an organization to influence the larger context. For the change process to advance, it is important that the organization reflect as a shared vision and ownership results from a quality process rather than as a precondition. As Fullan is primarily addressing public school systems, the sixth premise of tri-level engagement pertains to school and community, district, and state levels.

Lastly, persistence and flexibility are needed because the theory of action is reflective and inquiry-based rather than rigid and inflexible to self-correction and refinement.

Organizational Environment and Leadership

Schools have two broad environments to consider when pursuing organizational change. There is the internal environment of the institution, its personnel, structures, and operations, and there is the external climate, or ecosystem within which the school operates that include the political, economic, and social spheres of society. There are enduring internal and external organizational dilemmas which are distinct from problems, as they cannot be solved or resolved; where the external dilemma of persistence presents the balancing of organizational certainty and adaptation, and the dilemma of boundaries highlights the interplay between the integrity of the school and the uncertainty created by its ecosystem (Ogawa, Crowson, & Goldring, 1999). It is widely accepted that schools operate as open-systems whose contextual conditions require leaders to be dialed into in order to effect second-ordered change (Heck & Hallinger, 1999, p. 145). The process of school expansion impacts how an organization functions, and key to its functioning is its culture.

Organizational culture. Culture is both a product and a process (Bolman & Deal, 2013). As a product, it offers wisdom from accumulated experience; and as a process, it is reshaped and renewed by recruits who learn and then teach future members. Like leadership, culture has been described as elusive, taken-for-granted, looked over, ignored, ephemeral, and yet one of the most significant features of any educational enterprise, influencing and encompassing every element of organizational life (Deal & Peterson, 1990; Marion & Gonzales, 2014; Peterson & Deal, 1998). In NAIS publications (Freed, 2004, June 25; Mann & Swain, 2014, Spring; Thompson, 1993, Spring), school culture has been identified as critical to the health and success of an

organization, and understanding of the dynamics of institutional culture is a key feature of effective leadership (Mann & Swain, 2014, Spring).

Though a variety and numerous definitions of culture exist from different disciplines (Burnes, 2004b; Marion & Gonzales, 2014), from business, it has been defined as simply "the way we do things around here" (Deal & Kennedy, 1982, p. 4). Geertz's (1973) proposition that culture is an interpretive web of sensemaking rooted in semiotics is seminal, but the work of organizational psychologist Edgar Schein is generally recognized as authoritative (Bolman & Deal 2013; Evans 1996; Firestone & Louis, 1999; Marion & Gonzales, 2014; Senge, Cambron-McCabe, Lucas, Smith, Dutton, & Kleiner, 2000; Yukl, 2006) and serves useful as a starting point of understanding the concept. Schein (2010) defines organizational culture as:

> A pattern of shared basic assumptions learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 18)

Drawing from anthropological models that explain observable events and underlying forces, Schein (2010) lists broad elements of culture that shape and deepen the meaning of this definition and are particularly relevant to this study's examination of the impact of school culture on organizational change processes:

- **Observed behavioral regularities when people interact:** The language they use, the customs and traditions that evolve, and the rituals they employ in a wide variety of situations.
- **Group norms:** The implicit standards and values that evolve in working groups.

- **Espoused values:** The articulated publicly announced principles and values that the group claims to be trying to achieve.
- **Formal philosophy:** The broad policies and ideological principles that guide a group's actions.
- **Rules of the game:** The implicit, unwritten rules for getting along in the organization.
- **Climate:** The feeling that is conveyed in a group by the physical layout and the way in which members of the organization interact with each other, with customers, or with other outsiders.
- **Embedded skills:** The special competencies displayed by group members in accomplishing certain tasks, the ability to make certain things that get passed on from generation to generation without necessarily being articulated in writing.
- **Habits of thinking, mental models, and/or linguistic paradigms:** The shared cognitive frames that guide the perceptions, thoughts, and language used by the members of a group and are taught to new members in the early socialization process.
- **Shared meaning:** The emergent understandings that are created by group members as they interact with each other.
- **"Root metaphors" or integrating symbols:** The ways that groups evolve to characterize themselves, which may or may not be appreciated consciously, but that get embedded in buildings, office layouts, and other material artifacts of the group.
- **Formal rituals and celebrations:** The ways in which a group celebrates key events that reflect important values or important "passages" by members. (pp. 14-16)

Culture has three levels of manifestation: (a) visible artifacts; (b) espoused beliefs and values; (c) basic underlying assumptions (Schein, 1990, 2010). Artifacts are at the surface level

and include all the phenomena accessible through the senses. While some argue that an organization's "ethos" and "climate" are the same as culture (Deal & Peterson, 1990), Schein (1990, 2010) argues that climate is distinct from and a product of the group's assumptions. Artifacts are easy to observe, but difficult to discern their meaning; thus, attempts at sensemaking usually results in faulty interpretations projected onto the artifacts. Espoused beliefs and values include a group's ideals, goals, ideologies, aspirations, and rationalizations, and become shared when confirmed through social validation within the group, though may or may not be congruent with a group's behaviors and other artifacts. In this sense, it is similar to Argyris and Schön's (1974) "espoused theories" versus "theories-in-use." Any change at this deeper level would require a reexamination of the basic underlying assumptions, which are usually unconscious, underlying beliefs and values that determine perceptions, thought processes, feelings, and behavior. By understanding the group's assumptions the behaviors and artifactual phenomena become clearer. Reflecting Schein's framework as it applies to schools, Freed (2004, June 25) describes culture for NAIS as:

> Artifacts (location, architecture, stories and heroes, publications, artistic productions, rituals, dress, gathering and celebrations, scheduling (as reality and metaphor), the espoused values (mission), and the unconscious shared assumption (what it takes to survive here). (para 1)

Culture and organizational change leadership. Comprehensive changes in organizations usually require some change in the organizational culture and these are deep, pervasive, intentional, and occur over time (Eckel, Hill, & Green, 1998; Gardner, 2004; Woodman, 1993; Yukl, 2006). Changes are deep when there is a shift in values, beliefs, and structures that cause changes in thinking and acting; changes are pervasive when they cross

boundaries and affect units across the institution (Eckel et al., 1998). When organizational change is low depth and low pervasiveness, it is simply an adjustment to the organization and culture. On the spectrum of change, the shifts can be revolutionary, where change is sudden, or it can be evolutionary, occurring incrementally. For both, a transformation to a school's culture may be deemed a second-ordered change in the process of school expansion.

Leadership of organizational change, and thus, cultural shifts within an institution, is of paramount importance in school expansion processes. Thompson (1993, Spring) asserts, "All writers on organizational and school culture agree that a school leader must be, first and foremost, a cultural leader" (The Leader and School Culture, para. 1). Schein (1992) argues that the creation, management, and manipulation of culture in an organization are "the only thing[s] of real importance that leaders do" (p. 5) and thus, "cultural understanding is desirable for all of us, but it is essential to leaders if they are to lead" (Schein, 2010, p. 22). As "leadership shapes culture, and culture shapes leaders" (Deal & Peterson, 1990, p. 13), so, too, are they "two sides of the same coin" (Schein, 2010, p. 3). Culture and values matter to the success of organizations, especially in turnaround situations (Kanter, 2010). Thompson (1993) claims,

> When a school runs into survival difficulties and begins to lose students, the culture is threatened. Its goals and means are called into question. It is failing according to its own criteria for success. If its efforts to correct its course and become successful again don't work, the group will begin to fall apart and so will the culture. If a school isn't needed by the external environment, then the culture has no problem to solve, no goals to generate, no reason to represent group beliefs and identity. (Why understand culture?, para. 7)

Change leaders need to realize that the most central issue to understand is that changing the group's or individual's basic assumptions, values, and beliefs—or culture—in an organization

"is difficult, time-consuming, and highly anxiety-provoking" (Schein, 2010, p. 33) and that symbolic, less tangible aspects of the leadership process is as important as the structural, tangible changes (Brooks, 1996; Leithwood, Harris, & Strauss, 2013). When those basic assumptions are challenged, leaders must deal with the anxiety that is unleashed. Any second-ordered organizational change that does not lead to cultural changes within an individual or group means the repression of them, which explains why organizational change is so difficult (Schein, 1990).

School expansion may result in cultural changes that range from individual behaviors to systemic structures in scope and effect. Borrowing from the tradition of logic, Watzlawick, Weakland, and Fisch (1974) first distinguish between two broad types of system changes as being first-ordered or second-ordered changes. First-ordered changes are those that occur within a system itself while remaining unchanged, while second-ordered changes happen when the system itself changes "to an altogether different state" (p. 10). Their work has influenced the framing of organizational change (Lorenzi & Riley, 2000; Woodman, 1993). Marzano, Waters, and McNulty (2005) describe first-ordered change as incremental fine-tuning through small steps to a system, while deep, dramatic shifts in ways of thinking and doing as a result of redefining problems and finding solutions as second-ordered change. In their research study, Marzano et al. (2005), identified 21 key responsibilities of school leaders, and that of those, seven relate to second-ordered change. While recognizing that second-ordered change in schools is hard and many fail despite being well-researched and articulated, Marzano et al. (2005) write that the most revealing aspect of their statistical analysis is that some of the leadership responsibilities are negatively correlated with second-ordered change. Moreover, of all the most important responsibilities of school leaders, "culture has the strongest negative relationship with second-ordered change" (p. 73).

Others (Argyris & Schön, 1974, 1978) discuss these organizational changes as single-loop learning and double-loop learning. Single-loop learning happens when a match occurs between the organizational change strategy and successful outcome, or when a new strategy is attempted until success is achieved. Double-loop learning occurs when all attempted strategies fail to achieve the intended outcomes and therefore require a change in how the problem is conceived, which results in changes in perspective, assumptions, and altogether new strategies. Similarly, first- and second-ordered changes have been described by Heifetz (1994) as Type 1, Type 2, and Type 3 problems. Type 1 problems are somewhat mechanical in nature and solutions are readily available by traditional approaches. Type 2 problems include those that are definable, but no clear-cut solution is available. Argyris and Schön (1974) explain the use of traditional approaches to solve these problems as a reliance on "mental maps." Types 1 and 2 changes may generally be considered first-ordered changes. Type 3 problems include those where "the situation calls for leadership that induces learning" (Heifetz, 1994, p. 75). This requires adaptive work and could be considered second-ordered changes. In their research of effective school leadership of change processes, Marzano et al. (2005) find "the school leader might pay a certain price for the implementation of a second-ordered change innovation" (p. 74).

The process of shaping of cultures while leading organizational change varies in the literature. Deal and Peterson (1990) portray school leaders as symbols, potters, poets, actors, and healers. As symbols, leaders consciously and unconsciously affirm values through dress, behavior, attention, and routines. As potters, leaders shape and are shaped by their schools' heroes, rituals, ceremonies, and symbols. School leaders are poets in their use of language to reinforce values and beliefs, and sustain the schools' best images of themselves. As an actor, the head of school improvises in the school's inevitable social dramas that reaffirm or redirect the

values and beliefs of the schools. As a healer, a school leader recognizes the pain of transition in the life of the school and makes the change a collective experience by bringing the community together. Bolman and Deal (2013) frame the intersect of leadership and organizational change into the four types that change managers must negotiate: structural, human resources, political, and symbolic. They argue that the four frames allow change agents to see obstacles and pitfalls, and thus can increase their odds of success. The process of change requires revamping and realignment of structural patterns to support the shift and new direction. Meanwhile, change without the human relations support, training, and opportunities for participation in the process, may lead to people becoming moored in the past and prevent forward movement. Politically, employees address conflict and issues, and redraw organizational boundaries. Lastly, because change creates loss of meaning for people, transition rituals, mourning the past, and celebrating the future help move an organization forward and let go of the past. Together, the frames provide perspectives on the needs of organizational culture as it relates to learning, realignment, negotiation, and grieving.

Culture and change leadership in schools. Just as in business organizations, second-ordered change in schools is a complex, multidimensional process that takes time and requires a leader's careful attention to context, human psychology, structure, politics, and people, in particular (Evans, 1996, 2010). Due to the lack of substantive empirical data regarding school culture, leadership, and leading change processes, Louis, Toole, and Hargreaves (1999) recommend that scholars continue to examine questions of practical importance and use, writing that scholars need "to reuse the old bottles (questions) and fill them with new wine" (p. 269). For example, Louis and associates offer the following questions: "How do different school cultures affect a school's capability to create change and to make use of autonomous and anomalous

changes in positive ways?" and "What is the source and role of leadership in initiating and sustaining transformational change?" (p. 269). To address the complex process of organizational change, Leithwood, Harris, and Hopkins (2008) recommend four core leadership practices in transforming schools: (a) building vision and setting direction; (b) understanding and developing people; (c) redesigning the organization; (d) managing the teaching and learning program (p. 31). A school's capacity for effectiveness and long-term existence is critically dependent on its culture (Finch, Burrell, Walker, Rahim, & Dawson, 2010). Clinical and organizational psychologist, Evans (1996), finds that attempts at change in schools have failed in the past because leaders taking traditional approaches have overemphasized rationality, linearity, and formal structures, and underestimated internal resistance; thus, they did not "get at fundamental, underlying, systemic features of school life: they didn't change the behaviors, norms, and beliefs of practitioners" (p. 5). Absent the transformation of school members' world-views to the newly envisioned reality, successful implementation of organizational change is likely to falter or fail. Empirical studies demonstrate that a school leader's operationalization of a clear vision are linked to expertise, decision making skills, and consistent approaches to problem resolution, which have strategic implications for organizational change, culture, and sustainability (Hallinger & Heck, 2002).

Meaning of change. Change is often portrayed as a positive development, though can be quite the opposite for school members experiencing transformative organizational change. Corbett, Firestone, and Rossman (1987) explain that in schools, culture "defines what is true and good," what is "sacred" and "profane" (p. 37), and that "anomic situations" such as change may be debilitating, shaking the foundation school members' worldviews (p. 40). Evans (2010), writes, "*Growth* and *development* may be the ideal synonyms for change, but *grief* and

bereavement are every bit as accurate [italics in original]" (p. 43). Change "provokes loss, challenges competence, creates confusion, and causes conflict" (Evans, 1996, p. 21). Loss results from change because human construction of meaning develops over time, is rooted in experiences with emotional significance, develops contextually through relationships, and, ironically, may value negative experiences (Evans, 1996, pp. 29-30). With change, people may feel inadequate, insecure, devalued, and incompetent because the change may challenge previous competencies, experiences, identities, skills, and learning (Evans, 1996, pp. 32-33). Change creates confusion because roles, policies, and rules embedded in the organization's structure are undermined, even when it is not the focus of the change effort (Evans, 1996, p. 34). Conflict, as a result of organizational change, is natural, especially when there are scarce resources, and leads to negotiation, compromise, and coercion (Evans, 1996, p. 36) in the change process.

The strategic-systemic framework and four dimensions of change. Evans (1996) borrows from two traditions, strategic management and systems theory to offer a new paradigm called a strategic-systemic framework. In this framework, the external environment is deemed turbulent and unpredictable, the organization is fluid and psychological versus stable and logical; planning is pragmatic and adaptable; innovations are process- versus product-oriented; organizational focus is on people, culture, meaning, and motivation versus structure, function, tasks, roles, and rules; and implementation is top-down and bottom-up (p. 7). A decade and a half later, however, Evans (2010) alters his tune: "Despite a strong bias against top-down leadership that remains prevalent in education, virtually every instance of successful school innovation that I've ever known of involves a powerful, adroit leader" (p. 47). Hallinger (2003) also acknowledges that leadership approaches for at-risk schools may require more top-down approaches, if initially, in the restructuring process (p. 347). Evans (2010) continues, "Waiting

for buy-in to occur spontaneously is almost always a losing strategy. Buy-in must be built and the building begins with the leader's making the case for change" (p. 47), which reflects fundamental aspects of organizational change models by Kotter (1995, 1996), Kanter et al. (1992), and Lewin (1947), as well as an earlier survey of school change literature showing that school members' participation in decision making processes may not yield increased success (Firestone & Corbett, 1988, p. 332).

According to Evans (1996), the four dimensions of organizational change are substance, staff, setting, and leadership (p. xiv). By substance, Evans refers to a change process' focus and clarity; scope and complexity; desirability; and feasibility within the school (p. 74). The second dimension of staff means paying attention to the fatal blind spot of underestimating the human and organizational mechanisms of change, which are often exacerbated by a worker's stage of life and career (pp. 91-92). As the third dimension of organizational change, setting concerns "institutional readiness" or capacity to undergo a change process within its existing context, which include the following "organizational prerequisites" of change: occupational framework, politics, history, stress, finances, and culture (pp. 119-120). By leadership, the last dimension of change, Evans refers to strategic-systemic approaches to change that build trust by focusing on substance versus techniques and craft rather than science that blend "practical experience, personal skill, judgment, and intuition, all informed by training and research," and are guided by purpose, or the pursuit of an institutional vision, and followership, characterized as the genuine commitment by workers toward a cause (p. 167). Evans (2010) explains, "The main function of purposing is to inspire people and to concentrate their efforts on the pursuit of a common agenda" (p. 81), as it is where mission (organization's reason for being), vision (future direction), and core values (underlying beliefs and guiding principles) overlap (p. 80).

Culture of resistance. In their exploratory study on cultural resistance to change in schools, Corbett, Firestone, and Rossman (1987) find that challenges to "the sacred" are resisted strongly and immediately, and that if continued, the threat will create a culture of opposition (p. 36). While schools with negative, weak cultures are resistant to change, so, too, are schools with positive, strong cultures (Evans, 1996, p. 45). Schools with strong cultures tend to be conservative, become more so with age, and grow increasingly resistant to change despite circumstances in which organizational dysfunction is obvious to all (Evans, 1996, p. 46; Firestone & Corbett, 1988, p. 337). In fact, Evans (2010) argues, "Education is fundamentally a backward-looking, conservator's enterprise" (p. 44) where "many schools pride themselves on their devotion to enduring truths and established traditions" (p. 45) that value continuity similar to family and religious life. Evans (1996) goes so far as to argue, "For *all* of us negative meaning is better than none at all" (p. 141). Indeed, Corbett, Firestone, and Rossman (1987) find that due to a school's responsibility to teach values, they also have value structured embedded in them whereby "this normative structure encourages conservatism" (p. 57). Consequently, culture induces a powerful anxiety-reducing effect for its members that may lead to a form of organizational prison (Evans, 1996, p. 47), where change questions and challenges an organization's world-view, assumptions, and values. Evans (2010) explains, "In this regard, change agents often overlook a crucial fact: patterns create meaning through continuity, not happiness" (p. 43). Evans (1996) agrees with Schein (1992) that culture is deep and structural, writing that real cultural change in schools is a lengthy process that cannot be rushed (Evans, p. 49). Organizational change, then, involves cultural change and "culture constrains strategy" (Schein, 1992, p. 382).

Approaches and orientations that foster change. From a business perspective, Kotter and Schlesinger (2008) recommend six methods that managers can employ when dealing with resistance to change. These include: (a) education and communication; (b) participation and involvement; (c) facilitation and support; (d) negotiation and agreement; (e) manipulation and co-optation; (f) explicit and implicit coercion (p. 136). Though similarities exist in the approach to managing resistance, Evans (1996) highlights that authentic school leaders of organizational change focus on the culture, or the human side of an institution. This transformation begins with trust and is dependent on a change agent's integrity and savvy, or "practical competence," which combines together to form authentic leadership (pp. 183-184). He writes, "Strategic approaches to organizational change . . . emphasize meaning before roles, culture before structure. Implementation depends crucially on the meaning the change has to those who must implement it" (Evans, 1996, p. 17). Similar to Kotter (1995, 1996), Kanter et al. (1992), and Lewin (1947), Evans (1996) offers process-related undertakings as essential components of any school improvement change process:

Tasks of Change

1. Unfreezing
2. Moving from loss to commitment
3. Moving from old competence to new competence
4. Moving from confusion to coherence
5. Moving from conflict to consensus. (p. 56)

To this end, change agents must provoke loss, incompetence, confusion, and conflict with a predisposition towards four guiding principles of clarity and focus; participation without paralysis; recognition; and confrontation.

The principles of clarity and focus refer to the basic need for the essential components and relative priority to become evident through a vision that establishes purpose for the change (Evans, 1996, p. 206). Evans (1996) argues that in organizational change, "almost nowhere in organizational life is there a wider gap between precept and practice" (p. 207). To maintain focus, leaders should accentuate the positive, decide what to do and not do, and if necessary, stretch out timelines of individual change items (Evans, 1996, pp. 218-220). By having a clear focus, change leaders can support people through a difficult transformation by helping them understand new goals and enduring interests (Evans, 1996, p. 222). Reflecting a more traditional approach, Evans (1996) writes, "A predisposition toward clarity reflects an approach to leadership that is primarily directive, rather than an emphasis on situational flexibility or bottom-up democracy" (p. 215).

The concepts of empowerment and collegiality underscore Evans' (1996) second principle of participation without paralysis, and are guided by leadership that is both top-down and bottom-up so as not to sacrifice substance for process or change processes that result in quagmires (pp. 229-230). Evans (1996) explains, "While authenticity respects process, it is results-oriented, and effective leaders are biased toward participation without paralysis, not toward procedural perfection at the risk of programmatic entropy" (p. 246). Moreover, empowerment means obligation, duty, and accountability to the school, not an employees' power and license to do as they please (1996, p. 252). While Leithwood (1992) argues for a more participative approach with regard to effective school restructuring approaches, Firestone and Corbett (1988) posit that change leaders must determine when and in what form participation in school change decision making is most effective and that this depends on striking a balance between time and benefit; finding a "zone of acceptance" where leaders have the trust of school

members to freely make decisions without always consulting them; and creating structures of participation that are neither over-controlling, which leads to anger and distrust, or under-controlling leads to confusion and frustration (pp. 333-334).

A leader's positive feedback and praise based on the merit and truth about a person or situation provide authentic recognition—representing a third guiding principle of effective change management in schools for Evans (1996, p. 254). Such recognition helps to promote intrinsic motivation for school members and is essential to organizational health (p. 258), but insincerely given, recognition can be detrimental, if fatal, to trust in the leader (p. 262). Evans (1996) summarizes:

> Just going through the motions of acknowledgment is condescending, but truly confirming that one has heard the extent and intensity of people's concerns and takes them seriously, even when little or nothing can be done, goes a remarkably long way toward improving effort and cooperation. (p. 264)

Therefore, recognition is relatively easy, costs little, and whose results have "the potential to shift the tone and climate of a school, fostering a special kind of empowerment that can only improve the chances for change" (Evans, 1996, p. 270).

The fourth guiding principle for change leadership pertains to confrontation. Although compromise may appear fair and politically correct, calming the waters in a school, it is poor leadership practice because it masks conflict, pleases no one, and ultimately is "counterproductive" to leadership goals (Evans, 1996, pp. 277-278). Four characteristics of confrontation include an aim to limit naysayers' behavior; an intent to defend the school's core values, not personally attack a school member; an effort to build collective support by encouraging supporters to confront saboteurs; and an event that is singular rather than repetitive,

that often becomes a defining moment for a leader and part of the school's mythology (pp. 282-284). When strong resistance is limited to an unfreezable group and termination is not an option, leaders may attempt to continue persuading them or make life so difficult that they quit (p. 280). One model to help negotiate effective approaches to and levels of schoolwide participation in organizational change is to utilize a matrix whereby: when the decision quality is high and staff acceptance is low, the leader decides with minimal participation; when the decision quality is low and staff acceptance is high, the staff decides; and when the decision quality is high and staff acceptance is high, both leader and staff participate and decide (Firestone & Corbett, 1988, p. 333).

Organizational climate and leadership. The concept of an organization's climate has a long history and been interpreted in various ways across different fields (Cohen, 2007, Fall; Schein, 1990). Climate is frequently used synonymously with culture, though Schein (1990, 2010) describes it as only a surface manifestation of culture that conveys a feeling of a group through their interactions with each other, customers, and outsiders, as well as the physical layout of the offices and buildings. Louis, Toole, and Hargreaves (1999) identify schools, themselves, as dynamic and uncertain environments for change whereby, "the instability of school environments must be integrated into any powerful conceptualization of productive change" because any conceptualization of change invisibly dictates a change leader's strategies and expectations (p. 257). Similarly, Cohen (2007) summarizes the work of researchers and educators over three decades by identifying safety, relationship, teaching and learning, and the environment as essential components of school climate. Reflecting the national perspective among independent schools in the U.S., HAIS and the Western Association of Schools and Colleges (WASC) (2014, Nov.) describe climate in their accreditation self-study manual as the

"feeling tone" or "human dimension of school life" that is essential to understand as it impacts the quality of life and the school's "capacity to implement change" (p. 20).

An alternate interpretation of climate may refer to the broader environment, or ecosystem, within which a school finds itself operating. This broader environment, or operational climate, is filled with uncertainty that organizational leaders must effectively negotiate, especially as it concerns organizational change such as school expansion. Regardless, few studies have included environmental context indicators in leadership analyses of school change and thus the theory relating the two remains underdeveloped (Heck & Hallinger, 1999, p. 145). Louis, Toole, and Hargreaves (1999) identify planned efforts of organizational change and "major anomalies," or unexpected "radical changes" in the operational environment, as under-researched areas (p. 258). In their theoretical review of the literature over the past century, Leithwood and Duke (1999) identify this broader environment as posing some of the greatest challenges for school leaders, but whose importance had not been reflected well in leadership literature to date. Daft (2010) provides useful insights regarding elements of this operational climate from business that are germane to schools. Relevant sectors include:

- Macroeconomic conditions internationally, nationally and locally which influence consumer sentiments and decision making;
- Political conditions and governmental policies and regulations that impact potential institutional change;
- Human resources pool for highly skilled and talented teachers and administrators;
- Markets for a school's services, which can mean life or death for independent schools;
- Financial resources availability that can hamper or facilitate change;
- Technology shifts which may create challenges and opportunities;

- International conditions, which have become extremely important in recent years impacting all domestic sectors, including markets, finances, and socio-cultural conditions of schools;
- Socio-cultural conditions such as shifts in values and demographics, which are influenced by other sectors such as macroeconomic, political, technological, and international conditions. (pp. 140-142)

School leaders must navigate and adapt to the unstable, unpredictable nature of this operational climate. As complexity and rapid, dynamic change occur in the operational climate, so do internal complexities for organizations to cope with the changes (Daft, 2010, p. 149; Finch et al., 2010). To help manage these complexities, organizations establish formal relationships through partnerships, cooptation, recruitment, and advertising, or attempt to change the environment (Daft, 2010). Daft (2010) argues that organizations do so by changing where business is conducted, becoming political through influence, or uniting with others (pp. 162-164).

CHAPTER 3. METHODOLOGY

The following chapter reviews the purpose of the study and explains the research methodology and rationale for its selection, including a description of the selection process of a qualitative design and multisite case study. The researcher utilizes the works of Patton (2015), Yin (2014), Merriam (2009), and Miles, Huberman, and Saldaña (2014) to develop the qualitative design of the multisite case study and its methodology. This chapter also presents the conceptual framework and nature of the study by establishing the theoretical perspective. It provides an overview of the data collection method and the researcher's approach to data analysis. As a generic qualitative inquiry, this study requires no specific, formally conceptualized theoretical tradition. However, naturalistic inquiry, outlined by Lincoln and Guba (2013), informs the study's epistemology, which resides within the general framework of generic qualitative inquiries. Through this constructivist/naturalistic paradigm, the researcher addresses and reframes validity, reliability, and generalizability. Lastly, this chapter examines the researcher's bias and positionality through a reflexive process in an attempt to provide transparency and ensure credibility to the study's methodologies and findings.

Purpose of the Study

The purpose of this qualitative case study is to explore how independent school leaders in Hawai‘i negotiate and lead the process of school expansion in order to understand factors and practices that influence this organizational change.

The study seeks to address the following research questions:

- What factors prompt independent schools to expand?
- By what processes do independent schools facilitate organizational change?

- In what ways does school culture or climate affect the organizational change process at independent schools?
- What role does the operational climate play in leading school expansion processes?

Design of Study

This applied research study purposefully employs a qualitative research design in its exploration of how independent schools negotiate and lead the process of organizational expansion. As applied research, this study is "undertaken to improve the quality of practice of a particular discipline" (Merriam, 2009, pp. 3-4) and "to understand the nature and sources of human and societal problems" (Patton, 2015, p. 250). This is distinct from the purposes, focus, assumptions, and desired results of other types of inquiries, such as basic, evaluative, or action research. The qualitative research design provides a knowledge-generating approach to investigating phenomena and uncovering meaning from human experience. Patton explains, "In new fields of study where little work has been done, few definitive hypotheses exist, and little is known about the nature of the phenomenon, qualitative inquiry is a reasonable beginning point for research" (Patton, 2015, p. 230). Merriam explains, "Qualitative researchers are interested in understanding how people interpret their experiences, how they construct their worlds, and what meaning they attribute to their experiences" (p. 5) while Patton (2015) lists seven ways that qualitative inquiry contributes to understanding. These range from "illuminating meanings" to "making case comparisons to discover important patterns and themes," and from "capturing stories to understand people's perspectives and experiences" to "understanding context: how and why it matters" (Patton, 2015, p. 13).

Across qualitative research, several key characteristics distinguish it from quantitative research approaches and lend it to providing the best methodological approach for the

investigation of this research study. These are, namely, (a) the focus is on process, understanding, and meaning; (b) the researcher is the primary instrument of data collection and analysis; (c) the process is inductive; and (d) the report is richly descriptive (Merriam, 2009, pp. 14-16).

Furthermore, among the types of qualitative research approaches, the case study offers the most fruitful method of making meaning that addresses the purpose of this study and uncovering answers to the research questions. Fundamentally, a case is a bounded phenomenon of interest, whose boundaries determine the focus of the inquiry. While there is disagreement on what constitutes a qualitative research case study, several definitions help clarify the approach of this exploratory investigation.

Merriam (2009) defines the case study as "an in-depth description and analysis of a bounded system" (p. 40) and is selected "precisely because researchers are interested in insight, discovery, and interpretation rather than hypothesis testing" (p. 42). Patton explains that cases may manifest themselves as physically real, socially constructed, or historical/political entities, and be either "empirical units" (such as organizations, people, or groups) or "theoretical constructs" (such as concepts like excellence, grit, or managing chronic disease) (2015, p. 259). In defining the case study, Yin (2014) separates the concept into its scope and features. In describing the scope, Yin (2014) writes, "A case study is an empirical inquiry that investigates a contemporary phenomenon (the 'case') in depth and within its real-world context, especially when the boundaries between phenomenon and context may not be clearly evident" (p. 16). In order to distinguish between the phenomenon and context in real world situations, Yin elaborates on several methodological features pertinent to the design of this study, stating that the case study inquiry:

> Copes with the technically distinctive situation in which there will be many more variables in interest than data points; relies on multiple sources of evidence, with data needing to converge in a triangulating fashion; and benefits from the prior development of theoretical propositions to guide data collection and analysis. (p. 17)

Merriam (2009) also explains that the case study can be characterized as particularistic, richly descriptive, and heuristic (pp. 43-44). Not only is the design of case studies especially suitable for analyzing practical problems arising from everyday practice, but it is heuristic—illuminative of the phenomenon under study and thus, more concrete, contextual, interpretative, and based on the study's reference populations (Merriam, 2009, pp. 43-44). Yin (2014) describes the niche of case studies, writing, "The more that your questions seek to explain some present circumstance (e.g., 'how' or 'why' some social phenomenon works), the more that case study research will be relevant" (p. 4).

This study approaches the research through a multi-site cross-case analysis of three separate, single cases based on criteria outlined by Patton (2015), Yin (2014), Merriam (2009), and Miles et al. (2014). By examining multiple schools, the investigator completed a cross-case analysis of the study's data to better understand the processes and factors related to leadership of independent school expansion. The study is conducted within a conceptual framework of organizational change leadership and approached by a theoretical perspective of a generic qualitative inquiry (Patton, 2015).

Yin (2014) writes that the multiple case study approach is considered more compelling and robust and is a common way of studying school innovations whereby each school represents an individual case study, but that the whole research study covers several schools (pp. 56-57). Through a literal replication of methodology across cases, or schools, this study explores the

processes and experiences of the individual cases, or schools to predict similar results versus a theoretical replication whereby the study would predict contrasting results for anticipatable reasons (Yin, 2014, pp. 57-63.). At the same time, however, the exploratory nature of this study means that there are no research "propositions," or specific points that should be studied within the scope of the study (Yin, 2014, p. 30). For this study, three medium-sized HAIS schools were identified and contacted.

The case study provides several strengths to this particular investigation over other qualitative research approaches. In this exploration of how independent schools negotiate and lead the process of organizational expansion, the case study, "Offers a means of investigating complex social units consisting of multiple variables of potential importance in understanding the phenomenon" (Merriam, 2009, p. 50). With an expressed purpose of understanding factors that contribute to the challenges and successes of organizational change to improve professional practice, the investigation capitalizes on this very quality of case studies—"Anchored in real-life situations . . . it offers insights and illuminates meanings that expand its readers' experiences" (Merriam, 2009, p. 51).

Conceptual Framework

The conceptual framework establishes the body of knowledge that informs the analysis of the study by identifying key concepts, clarifying relationships among them, and organizing these ideas in a way that is helpful to the investigation. This exploratory research study examines leadership of independent school expansion in Hawai‘i through the conceptual framework of organizational change leadership. By investigating dimensions of organizational change leadership, the researcher seeks to discover principles that inform the processes and practices of effective organizational expansion leadership in independent schools of Hawai‘i.

Leadership of organizational change can differ in the type of change desired and the approach taken to lead that change. Organizational change can occur as a *first-ordered* change in which change occurs within, but without changing a system, or a *second-ordered* change in which a system itself changes due to the change (Watzlawick et al., 1974). Lorenzi and Riley (2000) simplify these changes by calling them *microchanges*, or differences in degree, and *megachanges*, or differences in kind. Organizational change occurs through change management, which Burnes (2004b) breaks into the three schools of Individual Perspective, Group Dynamics, and Open Systems, and three categories reflective of frequency and magnitude of organizational change: Incremental, Punctuated Equilibrium, and Continuous Transformation.

Independent school expansion in Hawai‘i primarily reflects a systems-level change (Lorenzi & Riley, 2000; Watzlawick et al., 1974) characterized as both “punctuated” (Gersick, 1991; Romanelli & Tushman, 1994) and “continuous” (Louis, 1994; Peters, 1997a), and necessarily adaptive and emergent to operate within complex, unpredictable environments. The organizational change can be rapid and fundamental for schools, and also developmental and transformative for the organizations “to keep aligned with their environment and thus survive” (Burnes, 2004b, p. 283). This processual continuous improvement and organizational learning are referred to as an Emergent approach to change.

The Emergent school perspective has been reluctant to simplify the messy and unpredictable process of organizational change, yet change theorists such as Pettigrew and Whipp (1991), Kanter et al. (1992), and Kotter (1995, 1996) do offer models and sequential steps to assist with managing the process. They also assert that leaders have the legitimate right to enact change and resort to pragmatism to influence and respond to resistance in the organizational change effort (Burnes, 2004b). The models of Pettigrew and Whipp’s “Five

Central Factors for Managing Strategic and Operational Change," Kanter et al.'s "Ten Commandments for Executing Change," and Kotter's step-by-step recipe of the "Eight-Step Process of Creating Major Change" are widely recognized and respected among businesses as pragmatic models to facilitate organizational change. As independent schools operate more like businesses than traditional public schools, and as these models derive from the Emergent school whose philosophical perspective is rooted in complexity and highly dynamic environments, this study purposefully includes these models in its conceptual framing of the study.

The conceptual framework of the study is also critically informed by personal theories of action, which reflect the emergent and complex nature of leading independent school expansion in Hawai‘i. Inclusion of personal theories of action as an essential dimension of organizational change leadership is based upon the assertion that leadership of independent school expansion is practitioner-driven, and that practitioners produce valid, useful, and legitimate knowledge because the changes are led by them (Jarvis, 1999). It is also rooted in the assumptions that all thoughtful school leadership decisions are made on the basis of some theory (Pogrow, 2015), there exists a need "to conceive of researchers and users as coproducers" of knowledge within organizational change leadership (Pettigrew et al., 2001, p. 709), and that personal theories of practice (theory as practical knowledge) differ from theory of and about practice (knowledge learned but not tried out in practice) (Jarvis, 1999). Thus, personal theories of action are drawn from deep wells of knowledge, skills, dispositions, and contexts whose mechanisms, conditions, risks, and opportunities are revealed in independent school leaders' logic models and manifested in their principles of practice.

As the dichotomy between theory and practice of organizational change leadership has been "the single biggest impediment to progress in effective change management," the study's

conceptual framework benefits from the inclusion of personal theories of action as a dimension of the investigation, as are the fields of research and professional educational practice enhanced by a "sophisticated and demanding engagement with practice" (Pettigrew et al., 2001, p. 709). In contrast to academic theories, which refer to specific theories discussed in research articles by academicians and are typically faddish, impractical, or general in nature (Evans, 2010), personal theories of action derive from professional practice experiences solving problems in particular contexts, are detailed, highly focused on specific processes, and have real-world consequences. Jarvis (1999) acknowledges this reality writing, "Practitioners seldom read the research literature because it was not written for them—it was written for other researchers" (p. 94). Moreover, Pogrow (2015) argues that "*there is absolutely no empirical evidence that education practices and decisions based on academic theory produce better results than those that are not* [emphasis in original]" (p. 13). In fact, Pogrow (2015) asserts that personal theories of action may be more reliable than academic research under the following condition: "When the context of research is very different than your school(s), research results are strictly from very short term highly proximal research, and there is no research" (p. 94).

Theoretical Perspective

The philosophical perspective of any research sets the foundation of the research pursued and informs the nature of the questions asked. It also reflects concepts, models, and theories that generate the research problem and questions, guides the methodology, including the data collection and analysis techniques, as well as the interpretation of the findings (Merriam, 2009, p. 67). This applied research study is informed by an interpretive perspective, framed by a constructivist epistemology, but with an eye to pragmatism given its purpose, focus, key assumptions, and desired results.

As the primary paradigm of inquiry for this study, constructivism contrasts with "experimental" or positivist frameworks by emphasizing a relativist ontology, subjectivist epistemology, and hermeneutic methodology rather than a "realist ontology, objectivist epistemology, and interventionist methodology of the 'conventional' belief system" (Lincoln & Guba, 2013, p. 23). Heck and Hallinger (1999) write that the strength of a constructivist approach is its ability to illuminate those things that are hidden from view or not well known (p. 147). Following an inquiry process of discovery and assimilation of new constructions of knowledge (Lincoln & Guba, 2013, pp. 63-64) and a hermeneutic methodology, this study provides thick descriptions through a negotiated, iterative process that results in a consensual emergence of understanding where the inquirer is the pivotal instrument of gathering and analyzing the descriptions (pp. 66-68).

Lincoln and Guba argue that the case study is the most useful format for reporting constructivist inquiries:

> The case study is perhaps the only format that can remain true to the moral imperatives of constructivism, that is, to serve as a credible representation of the various local constructions encountered and of any consensus construction (if such can be attained) that has emerged; that can adequately identify and reflect the voice or voices that influence the outcome; that can enlarge the understandings of respondents while at the same time serving the purposes of the inquiry; and that can stimulate and sustain local action by respondents (for which the inquirer acts as orchestrator and facilitator) as well as in other sites through the medium of the case report's readers. (p. 80)

Moreover, the authors explain that the case study format:

> Delivers sufficient scope and depth to afford vicarious experience (including tacit vicarious experience), sufficient understanding to suggest working hypotheses, sufficient richness to point to useful metaphors, and sufficient detail (usually in the form of thick description) to permit a reader to test a personal construction, all of which are important means to facilitate application in other, non-local settings. (p. 79)

Methodologically therefore, this case study reflects the criteria of the constructivist paradigm's focus on plausibility, transferability, dependability, and confirmability over the traditional, objectivist paradigm's criteria of internal validity, generalizability, replicability, and objectivity (p. 82). Emphasis is on relativist sense-making and an understanding that "successive formulations of a construction cannot be 'more true' than their precursors, but only more informed and sophisticated" (p. 30). Importantly, this study subscribes to the belief within the constructivist paradigm that generalization has no meaning; "transferability takes the place of generalizability as a criterion for making a judgment regarding rigor" (p. 80).

Although the methodology of the study is primarily framed by an interpretive orientation, pragmatic principles also inform its purpose, inquiry, and analysis. Patton writes that as a framework for qualitative inquiry, "Pragmatism directs us to seek practical and useful answers that can solve, or at least provide direction in addressing, concrete problems" (2015, p. 152). As such, the analyses of data and subsequent findings in this study reflect a focus on the nature of experience rather than the nature of reality. They are guided by principles of inquiry that include a mix of qualitative methods and epistemological traditions as appropriate to obtain diverse perspectives and insights on problems to inform action and understanding that is context dependent. Similar to the constructivist perspective where knowledge is localized and "*accumulates in the form of ever more and sophisticated reconstructions* [emphasis in original]"

(Lincoln & Guba, 2013, p. 56), the pragmatic lens establishes that utility and truth derived from utility are context dependent and constitute "partial truths" (Patton, 2015, p. 157). For both paradigms, then, there is consonance in the perspectives that what may work in one context in a particular point in time may not necessarily apply in another place and time, and that truth is shared, rather than being monopolized by any individual (Patton, 2015, p. 153).

Sample Selection

As a typical qualitative case study, this investigation includes two levels of sampling (Merriam, 2009, pp. 80-81). For both levels, the researcher chose a purposeful sampling strategy because the "logic and power [of this approach] derives from the emphasis on in-depth understanding of specific cases: *information-rich cases* [emphasis in original]" (Patton, 2015, p. 53). More specifically, at the first level of purposeful sampling, the researcher chose a typical sample strategy to reflect "the average person, situation, or instance of the phenomenon of interest" (Merriam, 2009, p. 78), and selected the whole case as the bounded unit of analysis, which is a normal approach in qualitative case study design (Patton, 2015, p. 263). Together, three schools of this study represent individual cases and constitute the bounded units of analysis that are examined through a cross-case methodological design (Patton, p. 261).

Though this study employs a typical sample strategy for the first level of sampling, the researcher follows a more specific type of purposeful sampling in what Patton (2015) calls "instrument-use multiple-case sampling." In such sampling, multiple cases of a phenomenon are selected for the purpose of understanding the phenomenon and generating generalizable, or, as in this constructivist-informed study, transferrable, findings that "can be used to inform changes in practices, programs, and policies" (Patton, 2015, p. 295). One kind of instrument-use sample is "utilization-focused sampling," which requires that sample cases be selected by "attending to the

relevance, contextual diversity, and complexity but also having sufficient access to in-depth information about the cases to be able to decipher individual case dynamics and cross-case patterns that will support conclusions" (Patton, 2015, p. 295). Patton writes that of this particular sampling methodology, "Focusing on generating useful and actionable findings, a common result of utilization-focused qualitative inquiry is identification of factors that explain the differences between what works and what doesn't work" (p. 295).

As indicated previously, at the second level of sampling, the researcher employs a purposeful sampling strategy to select the individuals to interview, document, and analyze within the cases. In contrast to the typical sample strategy taken at level one, however, the researcher utilizes a "key informants-" or "knowledgeables-sampling" at level two (Patton, 2015). Individuals selected for interviews provide expertise and valuable insights to this study and, moreover, this common sampling strategy is useful to this study because it "may stand alone as a purposeful sampling strategy or be used in combination with other approaches" (p. 284), as with level one samples. By utilizing a key participants sampling strategy at level two, the researcher aims to create specific information-rich groups that could illuminate this exploratory study.

Level 1 – The cases. The research sample for level one was comprised of three cases, or schools; all located in the state of Hawai'i, and configured using the following criteria:

- Schools whose expansion occurred from a change among the following: gender, grade level offerings, and/or student numbers.
- Individuals at the schools can speak to the processes that the schools utilized to navigate their expansion journeys.
- Schools achieved some result of expansion within the past 10 years by rendering a decision to expand, and moving, thereafter, to implement that decision.

- Schools are independent schools in Hawai‘i with unique histories and traditions of serving specific communities.

To initiate contact with potential schools in the study, the researcher drew on personal relationships and associations, such as HAIS Board members, former heads of school, dissertation committee members, or board members of a selected school. Once connected to the schools, the investigator contacted the head of school for each school to explain the purpose of the study and the school's voluntary role in the research (See Appendix A). After receiving favorable responses by the heads of schools, the researcher visited each of the three schools to answer questions and address concerns that the heads of school might have had concerning the school's participation in the study. Following this step, the heads at the three schools decided to participate and provided consent for the school's participation via the consent form (See Appendix B).

School 1. School 1 is a medium-sized PK through 12 independent, coeducational institution. Originally an all-girls college preparatory school, School 1 has recently reorganized and rebranded itself with the expansion of a K through 5 boys division that represents one of three distinct divisions within the school. The other two are a preschool and an all-girls division grades K through 12. The restructuring of the institution into a coordinate school system is a first in the state, and came as a result from the school's strategic plan that was rolled out in 2014. Across its divisions, School 1's student population was 324 students in 2016, after a steady decline from 510 in 2007 and a peak of nearly 700 in the 1990s. School 1 is nearly 150 years old and has a long-standing history of educating children in the state. Changes in the public school structures to adopt a middle school model impacted School 1's expansion decision making.

School 2. School 2 is a medium-sized PK through 12 coeducational, college preparatory institution. Originally an all-girls school, grades 9 through 12, School 2 began a process of expansion in 1991 by adding a preschool for the teachers' children, as well as grades 7 and 8 for girls. Again, in 2006, School 2 expanded in two ways—by adding an elementary division, grades 1 through 6 and becoming coeducational. It started adding boys to its program at the PK levels, but also at the 6th grade due to the shifts in the public elementary and middle school divisions, which changed from grades 1 through 6, and 7 through 8, to grades 1 through 5, and 6 through 8, respectively. School 2 completed its two expansions in 2013 when it graduated its first coeducational class. School 2's student population dipped to a low of 270 in the early 1990s, and after full implementation of the expansion, stands at 510 students in 2016 with equal numbers of students of both genders. School 2 has a longstanding head of school and two new vice-principals. School 2 has served the children of Hawai‘i for over 90 years.

School 3. School 3 is a medium-sized, grades 6 through 12, coeducational, college preparatory school. Since converting to a coeducational institution in 2012 by adding girls, enrollment at School 3 has rapidly grown. From 2012 to 2014 alone, enrollment increased 80%, and student numbers rose from 370 in 2012 to 660 students in 2016. School 3's first graduating coeducation class in 2016 comprised of over 40% female students. Prior to expanding to become coeducational, School 3 had previously added an all-boys junior high, grades 7 through 8 in 2004 and then added a 6th grade in 2011. Both of these changes were impacted by modifications in the Hawai‘i public school system when it reduced elementary grade levels to 1 through 5, and middle schools increased in size from a junior high model to grades 6 through 8. The school has been serving students of the state for over 50 years.

Level 2 – Key participants and documents. Once the sample cases for the study were determined, the researcher identified key participants within each of the units of analysis by discussing the purposeful sampling criteria with the heads of schools at the three schools.

The investigator pursued separate, individual interviews with the head of school and a governing board member because of their intimate knowledge of the school and their leadership roles in the school's journey through the expansion process. In addition, the investigator pursued separate focus group interviews with the administrative leadership team and faculty to provide varied perspectives of the school expansion process from their respective positions.

In all of these cases, the researcher explained the study to the participants prior to the interviews or focus groups, and all participants provided consent to the interview via the attached form (See Appendix C). The investigator also explained to the head of school, governing board member, administrative team, and faculty that this study was part of a research project that, upon successful completion, fulfilled one of the requirements of the educational doctorate (Ed.D.) degree. Furthermore, it was explained to all participants that their participation was completely voluntary.

The investigator worked directly with the head of school to make initial contact with all participants. However, after contact was made, all follow-up communication occurred between the investigator and individual participants to ensure the maintenance of privacy. For some interviews and focus groups, heads of schools provided the researcher the names and contact information of individuals who could meaningfully respond to individual interview and focus group questions in the interview guides (See Appendices D-G). For other interviews and focus groups, heads of school contacted individuals within their organizations and organized the

interview and focus group times and dates in conjunction with the researcher. The researcher identified four groups of people as knowledgeable to speak to the purpose and address the research questions of the study. At each of the schools, the researcher met with the heads of school, one board member (two of which were board chairs), one to five administrators, and three to seven faculty members.

Data Collection

Through a one-point-in-time data collection process (Patton, 2015, p. 255), the researcher conducted a series of individual and focus group interviews that spanned over a period of one to two days on campuses or in the community in the months of March and April of 2016. In order to provide an "up close" and "in depth" (Yin, 2014) understanding of the cases, the researcher standardized the interview protocols and questions, utilizing a semi-structured format. In this approach, "the largest part of the interview is guided by a list of questions or issues to be explored, and neither the exact wording nor the order of the questions is determined ahead of time" (Merriam, 2009, p. 90). When appropriate, the researcher asked clarifying questions during the interviews and responded to "the emerging worldview of the respondent, and to new ideas on the topic" (Merriam, 2009, p. 90). All interviews were audio recorded, transcribed, coded to anonymize participants, member checked, and analyzed to establish emergent themes and evidence to support the findings of the study.

Individual interviews. The researcher conducted individual interviews with the head of school and a board member at each school. These individuals were chosen as potentially valuable interviewees because of their leadership roles in the organization during the school expansion process. Interviews lasted for approximately one hour, were conducted face-to-face by the researcher, and with the exception of one, held in quiet, private spaces. The researcher met

with the heads of schools in their campus offices, while all board member interviews were conducted off campus.

Focus group interviews. Similarly, the investigator conducted focus group interviews with two groups at each school: one group was the current leadership team and the other group was comprised of faculty members. For both focus groups, the researcher sought individuals who were present at the school prior to, during, and after the school expansion process. Based on criteria provided by the researcher, the head of school identified the participants for the leadership focus group as well as faculty focus group. Due to differences in the organizational structures, as well as school restructuring, personnel, and other changes over time, the leadership teams varied in size and composition at each of the schools. The size of the administrative focus groups ranged in number from one to five participants. As with the administrative focus group, the researcher employed a purposeful sampling strategy to identify and select faculty focus group participants with an overall goal of choosing a diverse population of faculty members that would represent multiple school-level divisions and perspectives of the school expansion process to best inform the study. These faculty focus groups ranged in size from three to seven participants.

School strategic plans. For each of the participating schools in the study, the investigator requested access to strategic plans or schools voluntarily offered them to assist in the study. These included any comprehensive schoolwide plan from the period of the organization's expansion that contained relevant information to inform the study.

School expansion documents, correspondence, and meeting notes. In addition to requesting strategic plans from the participating schools, the researcher asked to review any documents, correspondence, and meetings notes created by the school or participants in the

school during the expansion process that could help the study. When possible, the schools participating in the study provided these.

HAIS studies, documents, and records. The researcher reviewed HAIS research studies, historical records, and documents available online at the HAIS website as well as requested access to the organization's office library.

The researcher initiated contact with the HAIS office by email. As the researcher is an employee of an HAIS member school, a professional relationship exists between the investigator and personnel at the office. In the initial contact, the researcher explained the purpose of the research study and requested access to the HAIS office library. The researcher explained to the staff that HAIS' participation was completely voluntary and that this study was part of a research project that, upon successful completion, fulfilled one of the requirements of the Ed.D. degree.

As part of the normal process of data collection, the researcher kept track of all documents used as existing data, recording the date retrieved and other pertinent information. For all records, documents, studies, and related material, confidentiality was maintained and all identities protected by the researcher through a coding system where participants' and schools' identities were replaced with coded identities. The researcher kept the key to the codes in a separate and secure location, and destroyed it after the conclusion of the study.

Field notes. The investigator recorded field notes that corresponded with each interview conducted with study participants. Field notes were recorded in either a computer or hand written in a notebook. In both cases a coding system was used to protect the identities of the participants in the interviews and focus groups. The researcher kept the key to the coded information in a separate and safe location.

Audiotape recordings. All participants in the interviews and focus groups agreed to be audio recorded, providing their consent via the consent form (See Appendix C). The investigator recorded all interviews using a digital audio recorder. The audio recording served as a backup to the researcher's field notes. Unless individuals requested otherwise, all interviews and focus groups were conducted on school campuses in closed-door sessions, which allowed for candid and private feedback. Again, in all cases, the researcher destroyed all data and coding records at the end of the study.

Since some of the documents described above identified schools and individuals, the researcher made attempts to keep the school and its community members' information confidential. In cases where the names of the schools or individuals were identified, a coding system was used. The coded information was stored in a safe, secure location and was available only to the investigator and advisors during the course of the study. The researcher destroyed all documents and coding information at the end of the study.

Data Analysis

The investigator utilized a combination of common research and coding strategies and methodologies outlined and summarized by Merriam (2009), Yin (2014), Patton (2015), and Miles, Huberman, and Saldaña (2014) to transcribe, code, and analyze the data acquired in the data collection process. The study reflects an overall inductive and constant comparative strategy rooted in Grounded Theory (Merriam, 2009, pp. 199-200; Yin, 2014, pp. 135-136) that "involves discovering patterns, themes, and categories in one's data" (Patton, 2015, p. 542) in a process that is "recursive and dynamic" (Merriam, 2009, p. 169). The researcher was immersed in the data to discover emergent relationships, construct meaning, and reach understandings (Patton, 2015, p. 542). The process includes the following steps:

1. Transcribe interviews, codify participant names, institutions, and other identifiable information to ensure confidentiality
2. Conduct member checks for validity and reduce potential for researcher bias
3. Study transcriptions to detect emerging patterns and themes
4. Analyze themes to create categories and answer the research questions

Transcribe interviews and codify identifiable information of participants. After completing each interview, the researcher transcribed the audio version of the interview into text. The text was then codified with confidential symbols to replace participant names, institutions, as well as other specific identifying information. To ensure confidentiality, the key to the corresponding coded participant information was stored in a secure location.

Conduct member checks for validity and reduce researcher bias. All participants received the coded transcript within one to two weeks following their respective interviews as member checks to verify accuracy of the transcripts. The researcher provided participants a minimum of two weeks to revise or redact their statements before it was concluded that there were no corrections required from the interview.

Study transcriptions to detect emerging patterns and themes. The researcher followed a coding approach that started with "open coding" followed by an iterative process involving analytical coding (Merriam, 2009, pp. 178-181). Open coding "constitutes the first cut at organizing the data into topics and files" (Patton, 2015, p. 553) and involves making notations in the text that are expansive and relevant. Following open coding, the researcher identified emerging patterns and themes that surfaced organically as well as through interpretation and reflection on meaning (Merriam, 2009, p. 180). Through an iterative process, using inductive and deductive analyses, the researcher created thematic categories reflective of the researcher

himself—the primary instrument of analysis, the participants, and the research literature (Merriam, 2009, p. 184). Patterns were subjected to "skepticism" of the researcher and the study's primary readers in order to be open to disconfirming evidence when it appeared (Miles et al., 2014, pp. 277-278).

Analyze themes to create categories and answer the research questions. After open and analytic coding, the researcher utilized MAXQDA Standard 12 qualitative data analysis software to categorize themes into an emerging data analysis codebook. This codebook underwent changes through the iterative process of data analysis as categories were added, subtracted, revised, and merged. In constructing categories, the researcher aimed to meet criteria outlined by Merriam (2009), whereby categories,

> Must be responsive to the research questions, as sensitive to the data as possible, exhaustive (enough categories to encompass all relevant data), mutually exclusive (a relevant unit of data can be placed in only one category) and conceptually congruent (all categories are the same conceptual level). (p. 186)

The investigator prioritized the categories according to "the utility, salience, credibility, uniqueness, heuristic value, and feasibility of the classification scheme" (Patton, 2015, p. 555). The categories were finalized in preparation for addressing the study's research questions. The coded interviews and transcripts provided evidence in the analysis of the study's research questions. The researcher attempted to triangulate all data in order to better defend the findings of the study (Miles et al., 2014, pp. 307-308).

Credibility, Dependability, and Transferability

In contrast to quantitative studies whereby the positivist-influenced criteria of internal validity, reliability (replicability), and external validity (generalizability) establish confidence, or

trust, in the research results, this case study follows a qualitative design whose philosophical assumptions and worldview are distinctly different. Influenced by a constructivist framework, the standards of rigor and trustworthiness in this study are determined by "credibility," "dependability" (consistency), and "transferability" (applicability), which replace internal validity, reliability, and generalizability as the traditional criteria to legitimate and provide confidence in the research methodology and findings (Lincoln & Guba, 2013; Merriam, 2009).

Credibility. The key to creating legitimacy for any research study is determining the extent to which the findings match reality. As reality is relative in the constructivist perspective, validity must be a goal rather than a destination; context-dependent, it is relative and legitimized through interpretations. This multi-site case study documents, analyzes, and interprets the multiple interpretations and constructions of reality by individual units of analysis who were present at the schools before, during, and after the school expansion process, thus providing rich and thick descriptions of the particular phenomenon. As the primary instrument of data collection and analysis, the researcher achieves credibility or internal validity through qualitative methodologies of triangulation, member checks, data collection saturation, reflexivity, and peer review (Merriam, 2009). Through these approaches, the data and findings are assessed and legitimacy established.

As the most common strategy of establishing credibility, triangulation provides two or three measuring points to converge on the reality of a phenomenon. This study employs multiple methods and multiple sources of data to triangulate the data that construct and validate the findings. The four distinct interview groups at each of the three schools represent such triangulation. The two interviews and two focus groups for each case provide examples of how the researcher collected data using slightly different methodologies and different sources within

each case or school as well as across distinct location sites for conducting cross-case data analyses and confirming the emerging findings. Documents, reports, strategic plans, and field notes represent other sources of data and methods by which the researcher compared, cross-checked, and corroborated the triangulations.

A second common strategy the researcher employed in ensuring credibility is through respondent validation, or member checks. Through the process, individuals within the twelve interviews and focus groups provided feedback regarding the accuracy of the transcriptions. In the subsequent data analysis, a number of respondents provided feedback on the emergent patterns, themes, and categories created by the researcher. This feedback informed the iterative process of data analysis and verified the accuracy of the participants' and researcher's constructed interpretations of the school expansion process.

A third method of establishing validity or credibility in qualitative research studies exploring participants' understanding of a phenomenon is to engage in adequate data collection. For this study, the researcher collected data through multiple sources and methods until reaching a saturation point, where no new information surfaced through additional data collection (Merriam, 2009).

Reflexivity, or the researcher's position, is a fourth strategy where the researcher is in a "bidirectionally interactive and interdependent" relationship with himself "to be attentive to and conscious of the cultural, political, social, linguistic, and economic origins of one's own perspective and voice as well as the perspective and voices of those one interviews and those to whom one reports" (Patton, 2015, p. 70). As explained in more detail later in this chapter (See "Researcher Bias and Positionality"), the researcher examines himself as the primary instrument of data collection, analysis, and interpretation in an attempt to acknowledge and present his

"positionality," and thus, strengthen the study's validity or credibility through increased methodological transparency and ethical practice. While the investigator presents his epistemological worldview earlier in this chapter as constructivist in nature, his biases, dispositions, and assumptions are further clarified in the positionality analysis.

Lastly, through peer review, qualitative research studies enhance credibility. In this process, peers knowledgeable on the topic examine and comment on the investigation for the purpose of verifying methodological consistency and accuracy, as well as assessing the plausibility of the preliminary findings. A dissertation committee of four educational practitioners reviewed and commented on this study over the course of the research and writing of the report.

Dependability. As with establishing credibility in qualitative research designs, researchers must provide confidence in the dependability, or reliability, of their studies if they wish to inform professional practice. In contrast to quantitative studies, however, the goal of qualitative studies is not to ensure reliability through replicability, but rather, dependability through achieving results consistent with the data collected. Merriam (2009) writes,

> Replication of a qualitative study will not yield the same results, but this does not discredit the result of any particular study; there can be numerous interpretations of the same data. The more important question for qualitative research is *whether the results are consistent with the data collected* [emphasis in original]. (p. 221)

The establishment of truth through repetition is reflective of a positivist worldview that the researcher does not employ in this study. The researcher achieves dependability through the approaches of triangulation, peer examination/review, and reflexivity, outlined earlier. In addition, the investigator employs an audit trail or chain of evidence.

The audit trail, or chain of evidence, in qualitative research design is a method by which the reader of a study can authenticate the findings of the study by tracing the investigative trail recorded in logs, diaries, or research journals (Merriam, 2009). The audit trail is presented in this chapter and represented in the account of how the researcher conducted the study, collected and analyzed data and arrived at his conclusions. Explaining the purpose of the chain of evidence, Yin (2014) writes, "The principle is to allow an external observer—in this situation, the reader of the case study—to follow the derivation of any evidence from initial research questions to ultimate case study conclusions" (p. 127).

Transferability. In traditional research methodologies, external validity is measured by how generalizable the findings are to other sites and circumstances. However, within the epistemological framework of naturalistic qualitative research, "the concept of generalization has no meaning in the terms of the constructivist paradigm" (Lincoln & Guba, 2013, p. 72). Similar to the iterative process of inductive and deductive reasoning in this study's data analysis, transferability rests on the logical processes involved in discovering that the general lies in the particular and that universals may be derived from the particular. Merriam (2009) observes, "Every study, every case, every situation is theoretically an example of something else. . . . [W]hat we learn in a particular situation we can transfer or generalize to similar situations subsequently encountered" (p. 225). Thus, the applicability, or transferability, of this applied research study to other situations is measured and provided by extrapolations and working hypotheses rather than probability and statistical analyses drawn from experimental or correlational designs.

Patton defines extrapolations as "modest speculations on the likely applicability of findings [*sic*] other situations under similar, but not identical conditions. Extrapolations are

logical, thoughtful, case derived and problem oriented rather than statistical and probabilistic" (2015, p. 713). In addition to focused speculation on specific problems found in the extrapolation process, qualitative studies also rely on working hypotheses rather than empirical generalizations for considering the transferability of research to other situation-specific contexts. Lincoln and Guba (2013) write, "Imported constructions may generate 'working hypotheses,' propositional statements which may be examined for possible meanings in the new contexts" (p. 72). For educational practitioners, then, the important question regarding the extent to which this research study applies to other local contexts can only be answered by the individual seeking its application to the site-specific locale for which it is being considered.

Indeed, Lincoln and Guba (2013) discuss the application or transferability of qualitative studies, writing, "[C]onstructions, as they may be formulated at any given time or as reported in a case study, may find application in new, non-local contexts or may be adapted by holders of competing constructions in a local setting" (p. 72). Elaborating on their position, the authors list a variety of ways that qualitative studies may be transferable:

> Constructions may be shared with members of other contexts who accept, for whatever reasons, the given constructions as appropriate in their contexts; . . . Imported constructions may provide vicarious experience which can guide further inquiry or action in the same ways that actual experience does; . . . Imported construction may serve as metaphors, stimulating new ideas and insights in contexts which are metaphorically parallel; . . . Imported constructions may serve to test the receivers' own constructions; Malconstructions can also be formed when not all persons engaged in a hermeneutic/dialectic interchange do so in good faith, or from a position of integrity. (Lincoln & Guba, 2013, pp. 72-73)

Researcher Bias and Positionality

As with quantitative research designs, qualitative research studies help ensure validity and reliability of studies by ethically conducting investigations, but also by reflecting on researcher biases and positionality. As the primary instrument of data collection, analysis, and interpretation, the researcher plays the most important role in the study—from conception to execution. Any threats to validity, methodologically or instrumentally, must be acknowledged and discussed. Through a continuous process of self-analysis, the researcher attempts to shield the data from potential threats related to his own subjectivity. For this reason, the researcher engages in reflexivity, introduced previously, and presents his biases and positionality for the purpose of establishing transparency and credibility.

The researcher of this study is a full-time doctoral student at the University of Hawai‘i at Mānoa and also serves as the Director of Curriculum, Sophomore Dean, social studies teacher, and HAIS Teacher Representative at Seabury Hall, a college preparatory, independent school, grades 6 through 12, located on Maui. He has worked at independent schools in Hawai‘i from 2003 until the present and recently completed a group consultancy report for HAIS as part of the requirements of the doctoral program. Prior to teaching in Hawai‘i, the investigator taught briefly at a diverse New York City public high school while earning a masters degree and teacher certification in the teaching of social studies. He also had brief stints teaching Japanese in Chicago and Portland, Oregon after completing a masters degree in Asian Studies in Hawai‘i. Prior to graduate school in Hawai‘i, the researcher taught English at three public middle schools in a mountainous Japanese village. For grades 1 through 16, the investigator attended Catholic, independent schools in Hawai‘i and California. In California, the researcher earned a bachelor of

science degree in commerce, and in Tokyo, he earned a diploma in Japanese by completing an intensive language program at a private, Catholic university.

Though predominantly exposed to and trained in traditional, positivist approaches to knowing and understanding the world, the researcher adopted aspects of constructivist epistemologies in creating the philosophical framework of this study because he deemed it appropriate to the nature of the exploratory investigation. Aspects of pragmatism appealed to the researcher due to the intent of this applied research study. The researcher believed that as an exploratory study seeking to understand factors that contribute to the challenges and successes of leading the processes of independent school expansion, this qualitative inquiry benefited from both the constructivist paradigm and pragmatism to make meaning of the 12 interviews and focus groups. Though formally introduced to the constructivist paradigm during his graduate courses at the University of Hawai‘i at Mānoa, the researcher’s experiences working, studying, and traveling domestically and abroad in Asia, Latin America, and Europe also contributed to the formation of a constructivist worldview.

The researcher arrived at the topic of this study by way of a convergence of several things. For one, the island of Maui has witnessed a number of schools expanding in recent years and Seabury Hall, where the researcher works, has also been considering the addition of a lower school division. As an administrator aspiring to learn and improve his leadership skills, the investigator pursued the topic of leadership and school expansion as both a way to provide meaningful research with which the organization may apply, where appropriate, the findings of the study in the local context, but also, to grow as a school leader. For example, the individual interviews with heads of school and members of the boards of trustees—all of whom have served as chairs at some point—offered the researcher valuable insights into senior level leadership

skills, knowledge, styles, and dispositions as well as the relational dynamic between heads of school and chairs of independent school boards. By conducting this study, the investigator had also hoped that the findings of the exploratory inquiry might serve other independent school leaders locally and beyond who are considering school expansion.

Two potential threats to the researcher's credibility reside in his "insider status" regarding the scope of the study's cases and inclusion of one of the sample schools. As a product of and teacher in independent schools in Hawai'i, the researcher believes in the quality of the educational programs offered by HAIS member schools, especially in light of the prolonged struggles of the state's public school system. Moreover, the investigator attended one of the schools in the research sample, though he had not visited or been active with the organization in any significant capacity for well over 25 years. As such, this study afforded both emic and etic interpretations of the school expansion processes within the broader scope of independent schools, as well as the particular sample case, as the researcher reconnected with his alma mater and personally observed the dramatic changes that leadership had implemented in recent years. As an alumnus, the investigator was able to reacquaint himself with teachers and administrators during the interviews and focus groups, though none were his instructors at the time when he was a student. The acquaintances with the school and key participants were strengths of this study in that they helped facilitate the research inquiry in a couple of ways. Firstly, despite some initial reservations to participate in the study due to recent legal allegations against former teachers at the school, the head of school provided access to the study sample once the researcher's intentions and purpose of the study were understood to be sincere and unrelated to the public exposure. Secondly, having recognized the investigator as a former student of the school, the interview and focus group participants were trusting, friendly, open, and willing to

help the researcher with the investigation, freely offering information that they felt might assist the inquiry.

In addition to providing trust and assurances for methodological approaches to this study, the four members of the investigator's dissertation committee provided peer reviews throughout the process of conducting and writing this study. Indeed, the committee helped to address common research concerns observed by Merriam (2009) that "The investigator is left to rely on his or her own instincts and abilities throughout most of the research effort" (p. 52) and that "Qualitative case studies are limited by the sensitivity and integrity of the investigator" (p. 52). By fielding questions and providing suggestions, these seasoned educational experts from the public and independent school worlds provided triangulation of the researcher as the primary instrument of data collection, analysis, and interpretation that helped ensure that the doctoral student ethically and appropriately conducted the study.

The researcher's ability to demonstrate competence was critical to the establishment of trust, particularly with interview participants at each of the sample schools. Knowing the purpose of the study, effectively communicating this in writing and orally, as well as ensuring the confidentiality of participants through signed waiver forms all contributed to the establishment of trust with individuals. Receiving approval from the Institutional Review Board (IRB) at the University of Hawai‘i at Mānoa was a critical step by the researcher in demonstrating competence and earning the trust of the dissertation review committee, HAIS member school leaders, as well as the school constituents of this study.

Throughout the journey of conducting this exploratory study, the researcher has attempted to walk the fine line between the expectations of a doctoral student in the exploration and documentation of revelations that contribute to new knowledge with the obligations to

respect and protect the study's participants. This common dilemma among researchers has caused the investigator to reflect deeply on basic assumptions and considerations of self and the participants to ultimately arrive at choices whose purpose was to strike a commonsense balance between the two and grounded in ethical principals and standards of research (AERA, 2011). The investigator has kept a data trail in the form of a research journal of strategies, field notes, observations, reflections, and responses to the process. This has yielded a range of intellectual and emotional responses whose arc over time suggests genuine interest in leadership and stewardship of independent schools, especially how heads of school negotiate and lead the process of significant organizational change.

CHAPTER 4. DATA ANALYSIS

This chapter analyzes the three cases of the study individually, followed by a cross-case analysis that answers the research questions through an examination and synthesis of the common features and experiences of the schools in their respective expansion processes. As "measurement is an act of selection" (Sterman, 2006, p. 509) and outcomes are frequently the products of contexts and mechanisms specific to circumstances, the researcher aimed to select the most pertinent and relevant evidence from the data to characterize and explain the unique experiences of the schools. The goal was to provide findings that are credible, dependable, and potentially transferrable for independent school leaders interested in school expansion and organizational change leadership.

School 1

For a century and a half, School 1 has been educating children of Hawai‘i. In 2014 School 1 made a dramatic departure from an all-girls school on its main campus by opening a coordinate school for boys, grades K through 5. Today, the school represents an umbrella organization that contains a preschool, a boys division, and a girls school, grades K through 12. The governing structure of School 1 has evolved over the school's long history. Since the mid-1970s, it has operated as a non-profit corporation and been governed by a board of trustees. The school has maintained an official link to a local religious organization as a member school, though the organization does not provide financial support for the school's operations. The board of trustees is comprised of leaders of the community, alumni, and past parents as well as the heads of the religious organization and school, who both serve as ex-officio members. In 2016-2017, School 1 hired a new head of school, though up to this change, the leadership team

consisted of the head of school, chief financial officer, director of admissions, directors of the three school divisions, and director of studies.

Factors that prompted School 1 to expand. School 1's decision to expand was influenced primarily by three broad factors related to non-sustainable finances of the organization, demographic trends and competition, and protracted leadership volatility in the head of school position.

Non-sustainable finances. School 1's decision to expand was driven primarily by a desire to remain financially viable as an educational institution. In the absence of a robust endowment, the "Great Recession" of 2008 and subsequent decline in enrollment negatively impacted revenue streams that would otherwise have sustained programs and operations of the school. The board chair explained, "Enrollment. Financial crisis. Those are both external to the school. People were saving. They're still saving."

The financial crisis and subsequent Great Recession of 2008 transformed the educational landscape for School 1 and other independent schools in Hawai'i. The head of School 1 explained, "In 2008 the economy, as you know, tanked in Hawai'i and we were losing our traditional students more rapidly than we expected." The chair of the board of trustees emphasized that as "a prime mover" and "driver" of the school's expansion, the Great Recession meant that the status quo "wasn't going to work anymore." The chair explained the impact of the financial crisis on School 1 and why the organization had not been more proactive in addressing "business as usual," saying,

> We had a CFO that had been there for years and I now know that the school had run like this for a long, long time. Barely making money. Or, losing money and making it up in summer school. The older people on the board were used to it. But the recession changed

> it. So even though I had been on the board for a while, it was kind of an "Aha" for a lot of us. Well, we're not going to be able to do that anymore because it was a new world.

The state of School 1's finances had been a schoolwide concern, especially prior to the expansion. Commenting on the seriousness and immediacy of the school's financial state, one faculty member stated, "We really had to have a huge change to survive, which we all wanted to do," while another explained,

> Financially, I think, we all know that we were in hardship and so the opportunity to be able to have a school, an additional school on campus, and restructuring School 1 as an umbrella organization, I think, it was an ideal time to do that.

When asked to clarify the primary driver for the expansion at School 1, the chair of the board of trustees stated, "Finances." The board chair revealed that the endowment size was well below expectations for a school with as long a history as School 1, explaining, "A $2 million endowment after 148 years? $3 million, maybe? There were no capital campaigns." The chair further explained the board's sentiments at the time of the decision, recalling,

> You can't run a deficit for too many years. Our back was against the wall. You do nothing and you die. It's easy to make a decision. They knew that. Absolutely understood it. The businessperson [vice-chair of the board] could explain it and [our outside consultant] could explain it. You don't have a runway. There was a sense of serious urgency. That's why we did it so fast.

The chief financial officer and former financial consultant to School 1 explained the decision for expansion as a combination of both context and finances, stating that "context helps frame the mission appropriate [decision], and then you ask the finance guy. Financially sustained—if you can find both of those and put them together, that led us down this path."

In light of a modest-sized endowment, declining enrollment was a third cause directly related to non-sustainable finances that prompted School 1's decision to expand. One teacher expressed her surprise by the declining enrollment's impact on graduating class size, reminiscing, "I'm an alum, but I'm an old alum, and when I came back five years ago, I gotta say I was shocked. My graduating class was over 80. And the graduating class that year was 25?" Indeed, the change in enrollment over the years had been dramatic at School 1. The board chair explained,

> At one point, we had 700 kids. I think when [the head of school] started, we had 500. Today, we have 324, even with the boys school. So dramatic. And it just [hand motion down]. That was frustrating. We rode it down way too long.

In the absence of innovation and urgent action to turn enrollment numbers around, the school faced serious consequences. The head of school explained,

> [Our consultant] said, "What is our runway for the school—runway for success? I think we have about a three-year runway if we don't do anything that is significantly going to change the course." And he was right. He was right. Because we were not growing. We were getting smaller and we didn't seem to have the answers. We hadn't done anything differently.

Looking back at the causes for the expansion process, School 1's CFO explained that it really was related to an unattended long-term decline in enrollment, stating, "Declining enrollment over an extended period of 10 years to 12 years led to the strategic plan and had a lot to do with looking at how to grow this school." A faculty member reflected on the predicament, admitting, "In retrospect, I would never have thought that we would open a boys' side. But that

is one of the issues with admissions—we were only addressing half the population, meaning, just girls."

Competition and demographic trends. Within the context of a decade-long weak economy, School 1's decision to expand was part of a general trend among independent schools struggling to find a solution to increased competition and demographic changes among its traditional families. Expansion through the coordinate school system was a solution to keep the school open and balancing act to meet the needs and desires of School 1's traditional families, alumni, and the community, while also expanding services and programs to meet new opportunities.

Overall, three trends appear to have affected School 1's decision to expand that similarly impacted independent schools locally and nationally. These trends relate to approaches to solutions among financially struggling independent schools, shifts in attitudes by its traditional families regarding single-gender education and convenience in the 21st century, and how boys have been underserved in education.

In describing the trend of survival-through-expansion strategy by financially struggling independent schools, the head of school remarked, "The school is rare that doesn't want to grow these days. Just for financial reasons. And if you have space, you grow as long as you can manage these programs." Regarding the future of School 1 vis-à-vis the developing trends, one faculty member commented, "That's what's happened to other small schools that were struggling. They either go under or they go coed. And so, there was a lot of speculation that maybe that would be what would happen." In fact, the board chair explained that the school was a leader in the nation in its approach, stating, "It was a national phenomenon. We weren't the only school doing this. We were a solution to a national problem."

A second major trend impacting School 1's decision to expand was a shift in attitudes by families regarding single-gender education and the convenience of drop-off and pick-up of siblings at school. The board chair elucidated,

> A huge piece—this is the most important that I recognized—we were pulling families apart in kindergarten. Drop your little girl here, drop your little boy there. I mean it ain't gonna work in the 21st century. It's too complicated for families. And so I really think that was a huge piece of the gift we were giving the community.

Indeed, changing times have led to increased demand for convenience among parents, though traditional attitudes toward single-gender education at School 1 appear to be shifting, especially among parents of boy students. The student support counselor explained, "I think [the girls school] parents are much more adamant about it being a single-gender education, and that's why they're choosing it. The boys, not so much. The boys' families seem to be okay if it would be coed."

The trend of underserving boys in U.S. schools represents a third broad development that impacted School 1's decision to expand as a coordinate school. The head of school explained,

> Boys are dropping out of school at a much higher rate than girls. That boys are failing in school at a much higher rate than girls is because the academic content has been pushed down lower and lower, say to preschool, kindergarten. Boys are programmed differently. They're not in that mode. So some little boys hate school when they come to kindergarten or first grade.

The administrative team explained that there is a growing body of research recognizing that schools are "losing a generation of little boys" and that the negative impact of underserving boys

in the U.S. had created an opportunity for School 1. Commenting on the recent attention in the research literature devoted to correcting this trend, the head of school stated,

> Seventy percent of the Ds and Fs given in high school are given to boys. There are now more girls in college than boys. And that's because traditional classrooms have not helped boys feel smart. We can help them have a love of learning. So we tried to fix that.

The fierce competition, particularly for smaller schools competing against larger schools, played a significant role in School 1's decision to expand. The board chair commented that "It's harder being a little school in Honolulu," while the head of school argued that smaller independent schools are at the mercy of the larger ones, stating, "The whole admissions scene on O'ahu is dictated by the big schools." The head of school explained that the independent school market in Hawai'i is unique and contrasts with most schools on the Mainland, stating,

> Unlike other places, bigger is better here. Everybody equates bigger with quality. And, so in terms of personal attention to your child, in terms of the feel of independent school—which is, you can wrap your arms around it—that doesn't exist here. So that all of the smaller schools—which is a normal size, we're kind of a normal size—it puts it in a different light.

As a result of this mindset, larger schools in Hawai'i reap the benefits and it has served as a foil against inadequacies or shortcoming such as a less individualized educational experience for the child. The head of school explained,

> And so everyone's attention goes to the bigger schools because, well, they *must* be really better if they're *that* much bigger, which isn't a frame of reference if you're on the Mainland. And so I always had problems with that. They hide behind it.

Hence, competition in the state for qualified applicants as well as high quality faculty spurred School 1 to seek alternative solutions that would increase its enrollment numbers and financial health of the organization. Expansion represented a deliberate pathway that could potentially result in quickly restoring the school's financial health and sustainability.

In addition to size, School 1 struggled with direct competition by other independent schools in the Hawai‘i marketplace, including those that decided to become coeducational. In reflecting on the years building up to the expansion, the board chair recognized, "Other schools improved and we didn't." The competition, however, did provide some opportunities for School 1 in the form of program innovations and development for students. The head of school realized that due to competition, School 1 "needed to develop some signature programs. So I think that is the way that a lot of us have gone." The board chair concurred that the school needed to provide higher-valued offerings to its students, stating, "I was very convinced that the school wasn't dynamic enough. That it needed to offer more to families."

One area in which School 1 saw a competitive opportunity was in the elementary grades for boys, but in a structure that fit with its traditional model of single-gender education. Director of School 1's boys division claimed, "I think one thing that we did do that helped with the decision with adding a boy's division was creating the only coordinate school on O‘ahu." An elementary and middle school teacher, as well, recognized this opportunity of the school to provide a unique, higher-valued service to families, stating,

> With some of the local schools that had once been all boys for the elementary closing or becoming coed, there was that *puka* there. There wasn't an elementary option for an all-boys education anymore. So in keeping with [the founder's] spirit, they decided to create

> [the boys school] to fill that need for people who wanted a single gender education for their young boys.

School 1 also decided to deliberately target a strong competitor with few rivals by opening the elementary boys division. The board chair explained, "I also always believed that there could be competition with [that school]. There's nobody like [it]. And we're not there yet, but we will be competing with [that school]." School 1 saw a competitive edge in its elementary offerings because its boys school offerings are PK through 5, while that strong competitor offers PK through 6. Given the number of public and independent schools that have changed to a middle school model, the demand for a traditional K through 6 elementary school has experienced some decline. The board chair rationalized,

> People really want to leave at 5th grade. They want to do entry at 6th and [that school] doesn't want them to leave. [Other competitors] go through the same thing with their 6th grade. It's hard to have a 6th grade. So it's starting to crack a little bit.

Prolonged leadership instability. The decision to expand was influenced by a number of factors related to leadership instability that occurred in the midst of the Great Recession. School 1 experienced the negative impacts of a systemic breakdown created by decreased enrollment and revenues, frequent changes in school heads over a relatively short period of time, and an absence of any substantive, long-range strategic vision and planning that would have promoted innovation, renewal, and institutional sustainability.

Expansion provided one solution to the consequences of a prolonged absence of strong leadership at the executive and governance levels that could steer School 1 forward in creative and innovative ways in order to sustain the mission and vision of its founder. Weak leadership,

then, provided the context in which organizational expansion became not only a solution to a declining school, but a necessity. The head of school explained,

> There was such a leadership vacuum here. It's very clear that in 1979 no one had their thinking caps on about how we're no longer going to wear the identity tag as [a competitor's] sister school and ride their coat tails.

In addition to leadership inattentiveness, historical governance structures had led to assumptions regarding leadership charges that muddied the waters of who was ultimately responsible and in control of the school. The head of school reported,

> The school has an interesting history regarding its governance. Because it's a [religiously]-related school, I think there was always a thought, perhaps in the minds of some, that the [religious organization] was attending to those things, the planning aspects. It was not.

Moreover, the board chair explained that the previous chair had not been concerned particularly with lengthy discussions, regardless of the weight or immediacy of matters, stating, "There were times that the sky was falling but we had 25-minute board meetings. [The former chair] didn't want any discussion."

Aside from the institutional instability related to weak governance, the deficit of sustained leadership within the school at the highest level posed another enduring challenge to School 1, which contributed to the school's decision to expand. The head of school stated,

> People were in a leadership coma. I mean I was the 5th head of school in 10 years. So it was a revolving door of people. And with the exception of a fellow from Boston for four years, nobody had come out of education.

The "leadership vacuum" resulting from the frequent changing of the heads of school created instability and contributed to uncertainty for School 1's future. The board chair explained, "A huge value was stability. The school had had too many leaders. Too many changes in leadership." The data suggest that although the multiple hired heads of school may have been good people, their training and preparation in non-education related fields were insufficient to lead the school. They had underestimated the complexity, energy, and vision required of the position. For example, one head of school who was formally a health care executive was terminated mid-year and replaced by the board chair for the remaining six months. To add to the leadership uncertainty, the board hired an interim head of school for one year. After a formal head of school recruitment effort, the board concluded its search by contracting the interim head for the position. The decision to hire the individual as the permanent head of school was a critically important move by the board of trustees to provide stability, and, whose significance was later realized in the leadership of the school's expansion process.

According to the board chair, School 1 had been struggling not just in governance and leadership, but in key administrative areas as well. The chair stated, "We were weak in facilities. We were weak in admissions." The chair also shared that while the head of school was a strong "inward leader" who was "good with the faculty," the school also needed a strong "outward leader" to assist with the public relations and marketing aspects of the expansion process. Yet, in the lead-up to the crisis that resulted in the decision to expand, the deficit of sustained leadership at all levels was a causal factor of the board's inaction and systemic failure experienced by the school that resulted in the overall decline of its performance. The board chair shared,

> Even the board would say to themselves, or at least half the board would say, "What were we doing? How did we allow this to happen?" But it is because of the instability of leadership that we allowed it to happen.

Expansion, then, was in part a result of decision making because of the deficit of sustained leadership at School 1. Without stronger leadership at the school, strategic visioning and planning passed by the helm that would otherwise have steered the organization toward self-examination, innovation, and renewal. The CFO revealed that there had been no strategic plan at the 150-year-old institution, stating, "The school undertook its first serious and thorough strategic planning initiative a couple of years ago, and expansion was considered in that context." Consequently, the board chair and head of school worked together to begin the process of creating a strategic plan in 2013 that resulted in the unveiling of the boys school.

Processes that facilitated School 1's expansion. For School 1, the process to facilitate school expansion began with prioritizing a business-oriented disposition to declining enrollment by identifying its strengths and opportunities, taking unified action, adopting a firm but flexible leadership approach, and celebrating early successes.

Prioritize a business-oriented disposition to declining enrollment. In the absence of a sizable endowment and few prospects of big donors, School 1 recognized the need to prioritize a business-oriented disposition and immediate solution to the financial consequences resulting from its declining enrollment trend. The process to facilitate school expansion involved a more authoritative decision making approach, spurred by a sense of urgency, and required outside assistance to craft a strategic plan that was business oriented.

By presenting school closure as a real and likely outcome for School 1, the head of school jolted the board of trustees into a clear awareness of the organization's condition and need

for concerted effort by all leadership to take immediate action and create a sustainable strategic vision. The board chair recalled,

> At the board retreat, [the head of school] suggested that we plan a peaceful closing of the school. A planned closing! Yeah, and we're going to have 150 years, and let's plan to close it by then. And [the head of school] had a friend that could do this. And then the board went [expression of shock]. So that made the board come together.

Due to the instability created by the "revolving door" of school heads, the board chair believed that the school "couldn't lose [the head of school]," nor could the board fathom the idea of closing the school. The head of school recalled the board's decisive action at this time, stating,

> And so the trustees were able to come to grips with the fact that we needed to do a strategic plan. This also was reinforced by our accreditation recommendation. And so as a result of that, our HAIS/WASC accreditation, they said that we needed to do a strategic plan.

Hence, the board of trustees was persuaded to urgently engage in a strategic planning process at this critical juncture as a result of the head of school's report of a possible school closure, and the accreditation visiting team being influenced by the head of school to include a strong recommendation that School 1 engage in a strategic planning process that resulted in organizational expansion. Reflecting on this leadership influence, the head of school stated, "I have a lot of accumulated knowledge. I guess I have convincing ways with people."

The expansion process was a result of the board's decisive action and realization that they wanted the school to remain open. It began with an HAIS/WASC accreditation and led to the strategic plan that was pressed by a sense of urgency and engaged jointly by the head of school and the board of trustees. The head of school instructed, "That's the way it has to be because

otherwise it doesn't work. It doesn't work if just one group makes the decision and the other group has to heave-ho. No, we had a mutual problem—we needed to grow." Emphasizing this sense of urgency, the board chair recounted, "It started in July and we announced the new boys school the following October. Fourteen months is nothing when opening a new school in a recession. It was crazy! Very, very exciting! I was very excited and committed." A similar sense of urgency was shared among veteran faculty and administrators. The CFO recalled the time frame between announcement and opening of the boys division as being high-pressure with a heightened sense of focus, stating,

> When you think about developing curriculum, enrolling enough students to make it a viable business, hiring up and staffing up, doing all the physical improvements, that was a crazy 10 months. And so I think what you're talking about emerges from the pressure cooker, right? You don't have a lot of time for the person who's not responsible to offer too much, additionally. I mean, you gotta go get it done.

The decision making approach by the head of school was confident and authoritative, rooted in wisdom and know-how from decades of leadership experience within a variety of independent schools in various geographic locations. This depth and breadth of leadership experience guided the approach to school expansion. In practice, this authoritative decision making and leadership style in the expansion process was characterized as necessarily top-down, but receptive to feedback. The head of school stated, "I wasn't a servant. Sometimes I am, but not in this process." In fact, there was agreement among the board chair, head of school, and an external consultant of the general direction the school needed to go even before the strategic planning process began. The board chair recalled, "So when we talked, we [the board chair, head of school, and consultant] had the solution kind of early before anybody had the solution, and

then we worked through it with the strategic planning committee." One faculty member presented the general characteristics of the authoritative decision making process, stating,

> We were told, "This is the strategic plan. This is what we're doing. We're adding a new coordinate school. The reveal will be tomorrow." That was the first time I had any inkling that it would be a coordinate boys school. I truly wasn't even thinking that it would be coed. I was totally blown away.

Another described the leadership style by simply stating, "'You're onboard. If you're not onboard, then you find another place. But we're doing this.' The decision was handed to us, and that was the end of it." Other faculty described the leadership approach as "top down" and faculty were encouraged to "be a team player" through the process. One classroom teacher stated that this leadership approach extended to the preparations of the new boys school facility, remarking, "For the most part, my suggestions were not taken into account. Someone just ordered what they wanted for the rooms and we didn't get to choose."

Although faculty generally deemed the decision making and implementation processes as top-down, leadership did include participatory, or distributed, aspects to help facilitate the process. One faculty member offered a contrasting experience, explaining,

> It was not completely an undemocratic process because I felt we had time to express many ideas and to brainstorm on what would be the ways to get out of our difficulties, or innovate, or change the school. I feel that we as a group had time and opportunities for that. Now, of course, there was no democratic vote on how to do it.

Among the administrative team, the CFO recalled a greater sharing of leadership responsibilities by the head of school, commenting, "My role in the process of decision making [included]

gathering data, interviewing people, putting numbers to concepts, and then putting those concepts on the table in terms of change options."

The value of the head of school's skills and experiences was revealed in the breadth and depth of knowledge that enabled effective decision making in the expansion process. The head of school shared,

> When we came to this point, I had had already 30 years of headship in very different schools. I also served on the boards of schools for a number of years. I was familiar with the coordinate school model. I just had a lot of resources. So I think I was undaunted by what we should do.

The head of school believed that the skills acquired through this depth and breadth of experiences allowed for intuitive understanding of what decisions, processes, and leadership approaches were situationally appropriate at what times in the expansion process, and that this knowledge could not necessarily have been acquired through formal instruction alone. The head of school explained,

> Because I've been a leader for so long I know that you're required to exercise different kinds of leadership in different situations. I drove the train on this. In an area where other people were expert at it, I would just let them drive the train. As long as we're on the right railroad track. When you've been around for a long time, you have a certain amount of accumulated knowledge and an intuition about things that doesn't come from a textbook or a paper.

As a result of these intuitive abilities, the head of school projected confidence and created calm within the school as it underwent the organizational transformation. The head stated,

> You just know what will work and what won't, and what are some likely solutions to your problem. Again, because I've been around a long time, I think I can demonstrate patience and persistence, and confidence, and inclusion, and a kind of calm, and peacefulness around what, for some people, is a very scary thing.

As the leader of School 1's organizational change, the head of school considered the education of school members as part of the leadership process. The head instructed, "You learn that we're in this together. We're working in this together. It's not going to be perfect, but it's going to be better than what we have and we're all going to learn some things in the process."

The director of the upper school summarized the leadership approach and the decision making and implementation processes, highlighting, "This really was [the head of school's] vision. It began with a conversation, a vision, and then kind of lining up and going, 'This is going to work with the direction that we want to take the school in.'"

Consultation with and hiring of outside experts played crucial roles in facilitating the strategic planning process, which outlined a realistic solution to the declining enrollment by leading to the decision making and execution of the school expansion process for School 1. The board chair recalled,

> I had an ISM [Independent School Management] newsletter, and I went, "[head of school], if enrollment is in decline for two years in a row, you need to take action. Look at this. It had been four years. It had been five years." Then [the head] finally said, "Let's hire [outside consultants]."

Arriving from the East Coast United States, one outside consultant helped School 1 root the expansion process in the school's history and mission. The head of school explained that the consultant "really facilitated a great exercise" in forming a strategic plan steering committee and

getting School 1 to think creatively about itself and its founder's vision for the purpose of diversifying its work, attracting new students, and becoming more relevant in the eyes of the community. Recalling this process, the head of school explained that the consultant examined the school's founding and traditional demographics, stating, "[The consultant] realized that [the founders] had developed everything that they did, really, in response to underserved populations in Hawai‘i."

School leadership understood that besides the technical and human skills that the consultants brought to the strategic planning process, their roles were critical to the expansion process for the broad and different perspectives provided, as well as for the mere fact that as outsiders to the organization, the consultants could be open and honest. This helped establish trust and provide credibility to the process. The board chair stated, "I'm not sure we could've really done it without him. His worldview was very important. He had worked with a lot of schools that were in the same position." Furthermore, the head of school explained, "We needed some outsider who could come in. I mean, could I have run the process? Yes. Would they have listened to me? No. It is the way it is."

The consultants also provided School 1 with quick access to a diversity of expertise that enabled it to manage the organizational change process more smoothly. These consultants included other local and national educational experts whom the director of the boys division described as "A huge help as far as building our philosophy and what we at least were going to start with." The CFO explained that the process to seek outside expertise was "appropriate, but quick, kind of go search the world, find the expert, inculcate what we learned, and keep moving." Some of the consultants remained on as employees of the school, such as the CFO and director of admissions. The CFO was initially hired as a financial consultant at the conclusion of the

strategic planning initiative to help create financial models of the expansion and move the process forward, while the assistant director of admissions replaced the admissions director mid-year, but was supported by the hiring of the East Coast consultant. The new admissions director shared,

> A very big change in the operational environment was the result of the outside consultants coming in. About a month after the strategic plan was revealed, there were changes within the admissions office itself. Not only did we receive the news that we needed to populate a new school, but we no longer had a director. And so, literally, for that year, and I was very green, not even having been at the school for a year, we flew under the leadership of one of the consultants.

In addition to inviting experts in, the head of school visited schools across the Mainland U.S. to seek expertise and collect evidence that the coordinate model was successful and could work in Hawai‘i at School 1. The head of school recalled,

> I went to all these different places and said [to the board], “This model works because it’s the best of both worlds. It honors the single-gender tradition, and it also takes advantage of a family-friendly model where you can take your son and daughter, drop them off together, but then they’re not together in school. A very separate program and taught very differently.” So, finally, [a national consultant] had a conference call with the board at a board retreat set up just for this decision. And it was at that conference call that finally, the male trustees started to see the value in this.

The possibility of School 1’s imminent closure due to its financial strait brought home the point to leadership of the importance that the school needed to be managed in a more fiscally responsible way. School leadership needed to reorient its thinking to a business operation model

in its search for a realistic and sustainable solution to declining enrollment. The board chair explained,

> One of the things that schools really needs to look at is the monitoring of the stakes. What's it going to cost you? What's going to be your return on investment? Much more than schools do. Looking at what are your assumptions?

Reflecting on School 1 through the lens of a businessperson, the board chair shared,

> One of the things that I'm very proud of about the school is it has three or four lines of business. So if you look at a school as a business, it had a preschool, and a girls' school, the summer school, and after school care program. We needed another line of business, which is why we added the little boys. Bottom line.

Without leadership's move to create a new line of business, School 1 might not have continued. The CFO explained,

> Two years in, we have 31 boys across three grades. It's not perfect, but without those 31 students, we would be 10% down from today's enrollment. So when you think about the outcome of that one decision, the expansion decision, separate and apart from all the others, it's crucial. I can't imagine trying to operate without that 10%.

In addition to creating new lines of business, School 1 prioritized the management of its finances starting from the 2016-2017 academic year. This included the board's decision to move to "zero-based budgeting" with the entrance of the new head of school in 2016. The board chair explained,

> We always budgeted on projected student numbers. This year we're budgeting on current student numbers. And we're contracting the faculty because this is the budget. We're not going to go into deficit budgeting. This is the first time the board has ever done that.

The mechanism for this shift came from a leadership change at the highest level of governance in 2016-2017. The board chair informed, "This is a model that's changing because of a [businessperson] being chairperson of the board and a CFO that is lined up." The chair also explained that the shared decision by both the old and new chairs of the board to make these business-oriented changes emerged "to cut this school now so the new head doesn't have to do it. We have to line this up so that it's fiscally sustainable." Without these changes in mindset and expansion of programs and services to its families, School 1 would have faced difficult challenges to remain viable.

In sum, the board chair recognized the importance of managing and leading School 1 more like a business moving forward, and to do so with an eye on becoming a top competitor in a niche market. The chair observed, "It's a hard market. That's why if we run our business tighter, we're going to be more innovative, and we're going to use faculty in different ways. I believe we're going to be a [model school]. That's the goal."

Develop an expansion plan reflective of school identity, strengths, and market opportunities. The strategic plan functioned as a strong driver of the school expansion process for School 1. The strategic plan rooted the expansion process in the school's rich history, values, and mission, and served as a map forward by providing a vision reflective of a thorough and thoughtful process identifying strengths and opportunities for the school to grow. This primarily meant the addition of the K through 5 boys elementary division, but also included programmatic innovations and enhancements prompted and facilitated by public school developments, community partnerships, and a clear vision for the future amidst a competitive market.

Crucial to the purpose and integrity of School 1's decision to expand was the process of deep reflection supported by an HAIS/WASC accreditation process and the consultant-led

strategic planning activity that proceeded to root the endeavor in the organization's history, mission, and vision of its founder. The board chair argued that for a school to expand it should be undertaken for a meaningful purpose, stating, "Have a strong educational case. In other words, tie it to what you're trying to accomplish with your students. Tie it to your values, tie it to your mission. Or, don't do it." The head of school recommended similarly, instructing, "Root it in principles. Root it in things that come out of your identity. Root it in your mission. Don't expand just to get more kids. Expand for a purpose."

The HAIS/WASC accreditation provided the school with the mechanism to begin the strategic planning process, which, in turn, was a requirement requested by the head of school to facilitate the basic question of "So who are we?" The head of school explained,

> I really asked the accreditation team to give us that as a condition of our accreditation, so that we would have some leverage moving forward. And it was the ability to do the accreditation and the strategic plan that ensued that really made it possible to think more creatively than we had been able to do.

In answering the question, "Who are we?" the board chair pondered, "The historic value of the school was paramount in everybody's mind. This is a very important school, and our mission isn't done. How could we do it without changing the historic value of the school and the mission?" The need to reflect on the school's identity prompted the head of school to analyze School 1's demographics. The head of school explained,

> We have a very middle-class population. We have about 40% or more of our students receiving some sort of financial assistance. Many of our students are first-time college. Rarely have families gone to independent schools before their daughter or son comes here. So we're really, a "step-up" school.

With a clearer understanding of itself, School 1 realized that any expansion needed to occur as an extension of its unique character. The head of school explained, "We needed to grow in relation to our identity, and this was important to me. Through School 1's reflection process, it determined that the vision of its founder was to provide access to underserved populations in Hawai'i. The director of studies explained,

> We wanted to make sure that the way that we expanded aligned with our founder's vision. But we also looked to see what are other underserved populations that we can serve. We determined that young boys could really use our school, so that's why we expanded.

In order for School 1's constituents to wrap their minds around what the expansion would mean vis-à-vis the vision and mission of the school, leadership needed to have a clear message to the community that honored the vision of its founder and allowed them to share this purpose with integrity. The head of school explained, "We have to be able to rationalize it, or support it in terms of who we are, I think. It gives you the language, it gives you the meaning, it gives you the framework." The need for the expansion decision to have this clarity of purpose and be communicated well was echoed by the board chair who stated,

> It strengthened what [our founder] wanted. She wanted it for girls. We didn't mess with the girls or with [her] vision. We added to her vision and said that the boys need the same thing. We weren't going coed. We were firm. We weren't mushy.

Speaking to the need for integrity of purpose tied to the school mission, the head of school explained,

> I wanted to make sure that whatever we did we could talk about with a sense of integrity. We've always been about women, women's empowerment, and women's advancement. So on the [girls school] side, we maintain our integrity and our commitment to that

> because we do it really well. On the boys side, we're maintaining our integrity about the need for young boys in schooling today. Both are offering access to underserved groups. So, that works for me. But it wouldn't work for me if it was something that you just couldn't explain.

The strategic plan that emerged in October 2013 from the deep reflection provided by the HAIS/WASC accreditation self-study and strategic planning process identified and drove all of School 1's expansion initiatives. The head of school stated, "So we were really able to hang our hat on that strategic plan, and it has guided us on everything that we've done." The most significant challenge in the strategic plan that impacted the school's history and culture was the addition of the boys school, grades K through 5 on School 1's main campus. To convince male members of the board and the community of the merits of the coordinate model, the board chair and head of school presented the case in a way that "personalized it" by zeroing in on male board members' own struggles in coeducational elementary school. The head of school shared, "Happily, one of our trustees had gone to a coordinate school on the Mainland. And that was a good thing."

Like many strategic planning processes at independent schools, it was "a broad, formal, lengthy, in-depth" effort that involved all of School 1's constituent groups and lasted 18 months. The head of school explained that through the strategic planning process the school struggled, but eventually reaffirmed its identity, stating,

> We went through the exercises as many schools do. And they don't push it far enough. Many schools have simply said, "Well, we'll go coed and we'll get more kids. That will solve our problem." We wrestled with that for a long time, but it just wasn't in our DNA to go coed.

In addition, the head of school explained that the school identified five "pillars" or priorities related to the expansion: the need to (a) re-appreciate, reintegrate, reclaim, and deepen its Hawaiian heritage; (b) reaffirm its commitment to and expertise in gender-specific education as it relates to underserved populations (e.g. boys education); (c) capitalize on its campus' location through signature programs; (d) realize the potential of Hawai'i's location as the gateway in the Pacific for international student enrollment; (e) advance its leadership in technology programs.

Developing an expansion plan required School 1 to identify strengths of the board and school as well as capitalize on external opportunities to grow the institution through niche markets and partnerships in the organizational environment.

The board took a "hands-on" approach in the decisions of the expansion plan and identification of niche markets and partnerships. The director of upper school remarked, "We can say that we want these things, but ultimately it's up to the board to decide. They were a key factor, and they were very active in a good way." The board chair identified the vice-chair (and future chair) as being an important element to the expansion process because of the particular skills of the individual, but also, the combined strengths of the two, stating,

> [This individual] was the vice-chair of the board during the expansion process and is the current board chair. [This individual] is a businessperson, not an educator. So we were a pretty good team because I am the educator and the vice-chair was the businessperson. [The key question was] "How are we going to do this as a business?"

This teamwork between the chair and vice chair played an important role in persuading the board of trustees to envisioning the idea of an expansion that included changing 150 years of an all-girls educational tradition by adding another gender. The board chair explained,

> There aren't any other educators on the board. I'm the only educator. Most [independent] schools don't have educators [on the boards] so that skill helped [the board] believe in an all-boys school; the fact that I believed in it. I think the trust and the conviction that the two leaders showed was a very important move.

The board also provided leadership in proposing signature programs that helped distinguish and market the unique value offered to the school's students. One program took advantage of the campus' location to provide real-world learning opportunities at workplaces.

Building on its strengths, School 1 was part of a national trend among competitive independent school markets in developing unique programs supported by partnerships to target niche market opportunities. For example, the director of the boys school explained that the decision to create the boys school signature program was influenced by the possibility of being "the only coordinate school on O'ahu." One elementary teacher recounted the school's long tradition of filling niches in Hawai'i's educational market that date back to its establishment, stating,

> She founded the school in the first place to fill a niche, a hole in education, to give education to people who weren't offered education at that time. So in keeping with [the founder's] spirit, they decided to create [the boys school] to fill that need for people who wanted a single gender education for their young boys.

By capitalizing on its long tradition of educating children in single-gender settings, School 1 rooted its expansion in one of its key strengths and matched it to a market opportunity. The head of school explained, "We would start something that really relates to who we have been historically." This strength paired well with underserved boys in the state. The head of school stated that boys were "not currently being served well in Hawai'i," and that "they have lots of

things going on that are forcing them to drop out of school." Other independent schools have also recognized this niche market opportunity and competition has increased with the opening of an all-boys elementary division at a nearby competitor with a similarly long history.

While the boys school constituted the main signature program of School 1's expansion endeavor, several other innovations filled niche opportunities at this time and were driven by the strategic plan to increase enrollment and improve program offerings. These include a global studies program, which takes advantage of School 1's strength in teaching English as a Second Language (ESL), and an international student program that exploits its geographic location as a bridge between Asia and the U.S. This program alone has increased enrollment by five to 10 students at full-price tuition. The head of school shared, "We've tried very hard to attract students from around the world."

A global leadership program represents another signature program that taps into a niche market and expands School 1's offerings. This program is financially supported by a partnership with a community foundation that promotes peace making, global competencies, and sensitivities. Girls who complete this program graduate with distinction on their diplomas.

School 1 also sought to increase enrollment and deliver quality offerings to potential families by capitalizing on its close proximity to a diversity of workplaces. Like its global leadership program, this program was created in partnership with a community foundation that financially sustains it. The program starts in the 10th grade and continues until graduation. The head of school explained,

> Our first 12th grade group is in internships that are pretty much in downtown for maybe 4 to 5 hours a week, and they're learning job skills. They're learning what it's like to get

interview skills, to have a position, to have to market yourselves to get the position, to go to work every day, to be evaluated and all of that.

One niche market expanding School 1's ability to attract and retain students relates to the school capitalizing on its leadership in the use of technology. As one of the first to become a laptop school in the early 2000s, School 1 continued its pioneering in the use of technology by creating a new signature program to extend its reach to additional students. The head of school explained,

> We've always been on the forefront of technology. We now have a program, which is a blended learning program where some of our courses are totally online, some are blended. They meet two times a week in person, and then the kids do their work in the other time.

Though external to the school, the increasing number of public and independent schools in Hawai‘i changing from a junior high model to a middle school design had important implications for market opportunities that informed the approach of School 1's decision to expand in the elementary school niche market. The head of school explained, "There are loads of places to go at 6th grade. It's an entry point for lots of schools."

Take unified action. The school expansion process may be characterized as purposefully and organically unified for School 1 in that the approach to leadership and implementation was both by design and spontaneous, but consistently collaborative.

At School 1 there was a sense and sensibility to shared leadership by the board of trustees and head of school with the administrative team, faculty, and broader constituency at the school. The desire by all to keep strongly united permeated the school expansion process as expressed through extensive support and collaboration across all levels and divisions of school constituents.

Collaboration, then, was the key value that shaped the school expansion and unified its constituents. The CFO said of the expansion process, "It was an organic result of dramatic change," and the upper school head described it as "very natural and authentic."

For the board chair, solidarity and collaboration was a high priority to ensure a successful expansion process. When asked what value or goal guided the board's governance in the process the board chair replied, "Collaboration. There were only four trustees on the strategic planning committee. So we had parents, we had faculty, we had community leaders. It was very well orchestrated. So that value was very important." In addition to collaboration, the unity, strong communication, and gift giving by the board also played important roles in School 1's expansion process. The board chair explained,

> The fact that we kept the board together through that change is really critical. Board leadership and board solidarity are extremely important. So the communication with the board is really important. The whole board needs to believe in it or get off. And we asked every board member to contribute, and we raised $400,000 from the board. So we really had strong leadership from the board writing checks, too.

The board chair emphasized, "We didn't lose board members. I said to the board, every time, I said, 'Hang close. Hang tight. This is a ride.' You know, it was. It almost brought the board closer. They were worried."

In addition to board solidarity, leadership stability and relations between the board chair and head of school needed to be healthy and unified to achieve strategic goals. The board chair recalled, "Stability was important." In describing the extent to which the board chair needed to support the head of school in this process, the chair stated,

> Critical! Critical! Critical! To the board. And the community. We had to be like this [hands locked together]. And we were. Even though I didn't always agree, I had to figure out how to do it peacefully. How we were going to do it without [the head] leaving.

Among the administrative team, collaboration defined formalized interactions that were organized, productive, and unifying. School 1's CFO conveyed that the head of school held "summits" that were akin to project organization meetings where roles, responsibilities, and goals were set within a collaborative, team spirit. The administrative team deemed their roles and responsibilities in relation to the faculty as supportive and guiding. The director of studies clarified, "First of all, I think our role really is to create an environment where people can collaborate, and that's an expectation. And I feel that we've put structures in place so that we're continually moving forward."

While collaboration was valued at School 1, there were instances of conflict during the expansion process that, in the end, served to unite the community together and encourage further collaboration. The director of the boys division recalled, "Going through that process, having some heated conversations, and then just keeping the objective in mind, actually brought us [together]. Developed a nice culture within the teachers." The director further explained that prior to the expansion, there was less collaboration, though an openness to cooperate, stating,

> At the same time, people were flexible and they were willing to work. And so, I think the biggest thing that's changed is what the director of the upper school said, which was, we've gotten out of our silos and working more across divisions, teachers, and administrators.

The attitudes and perspectives among administrators were ones of supporting and unifying the faculty by clarifying and providing direction through the process. The director of studies explained,

> We were taking care of our people—as formal leaders, that's what we're trying to do. And, again, transparency and saying this is our goal, so how do we sort of climb up that ladder to reach that goal? And unifying our messaging so that we're all saying the same thing. That's been really helpful for us.

As a result of administrative support, faculty described their roles in the expansion process as collaborative, though at times unsure of the quality of their input as they did not have access to all the information required to make informed contributions. One faculty member recalled,

> We had groups where basically we were told, "Go crazy. Imagine the school in a completely new way. Even if you think it's not reasonable, go ahead, brainstorm in the most craziest way." And that's what we did. And I think, at the same time while doing this, personally, I felt limited because I didn't have all the knowledge about the real state of the finances.

While outside consultants significantly helped to guide the strategic planning process that drove School 1's expansion, administrative and faculty support through mentorship and volunteerism built trust and camaraderie that united faculty and staff more closely together in what administrators described as an "intense environment." The assistant director of admissions explained the significance of volunteerism to bonding the staff together, stating,

> I think it's safe to say that everyone probably took on more than their regular load because everyone was just stepping up to do what had to be done. So operationally-wise,

I think everyone just found themselves jumping in where they needed and it's, perhaps, not something they had done before.

In this environment of rapid change and increased volunteerism and trust, the administrative team rallied behind the new administrator and director of the boys division. The teacher-come-director recalled, "I used the upper school director as a mentor because my background isn't in administration. So I was using [the upper school director] a lot, and of course, [the director of studies], in building the program."

In the same way that the administrators united behind their new director of the boys division, faculty of all divisions helped coordinate and prepare for the changes with quick speed. The assistant director of admissions recalled, "As issues arose, it would be 'How are we gonna fix this? Let's keep everything moving forward.'" Moreover, as the pressures mounted of time and need for the new boys division to succeed, the quality and quantity of staff collaboration increased. The director of studies shared, "The teachers are really great with each other. I don't think there's been that level of collaboration in the past. I feel like we're collaborating so much more between the divisions."

Project confidence in the expansion vision, support staff, and manage resistance. The expansion process for School 1 required tolerant and flexible dispositions among leadership, faculty, and families rooted in faith that the school could and would manage the inevitable surprises, disruptions, and challenges of leading a complex and unfinished organizational change process. Through it all, leadership needed to project confidence in the expansion vision in order to build faith among constituents.

Essential to the success of the expansion process was the reassurance to potential and current parents of students as well as faculty and community members that School 1 was

launching an outstanding opportunity by opening the boys division, K through 5. The assistant director of admissions emphasized,

> I don't think we can overstress the importance of keeping everyone at [School 1] sort of in a state of "everything's okay." Without putting out small fires, or rumors, and things here and there with parents who are getting, maybe at times, worried about the future, I don't think that the boy's school could've gone off as well as it did.

The director of studies explained that while the directors of the various divisions could only say to parents, "Trust me, it's gonna be awesome," the administrators were apprehensive of the challenge to create the school on the short timeline. The assistant director of admissions recounted the months prior to opening the boys division, when there was nothing of a physical school but leadership's resounding faith and confidence that the program would work, stating,

> So it was a little bit scary. It sounds great in theory. At that time we didn't have classrooms to show them. We didn't have teachers. All we had was the vision of the school. So it was challenging to engage with families and sort of promise them the world, but not be able to show them anything, or even have them engage or connect with a current family.

For School 1, decision making was frequently and necessarily impromptu as a result of the short time frame between the announcement of the boys' division to opening of classes. One faculty member described the decision making as "Reactive. Lots of decision making were reactive more than proactive." Another faculty member concurred, stating, "The biggest obstacle is that we continue to be very reactive." Other faculty and administrators described the decision making and implementation of the boys school expansion as "Learning as we go," "flexible," "adjusting," or "figuring things out on-the-fly." While the newness of the boys division brought

inevitable surprises to manage, the limited campus size contributed to the discovery of new routines, schedules, and adjustments. The director of the boys division explained, "Going throughout the day, having two programs, sharing spaces, we had to adjust. Teachers had to be flexible with playgrounds and lunch times and mornings, when kids are dropped off, and after-school care." Even prior to the opening of the boys division, faculty and staff needed to be understanding of the in-the-moment decision making in order to reassure potential parents that the school would be a success. The assistant director of admissions recalled that during the admission process, some decisions were "on-the-fly to put out concerns here and there," because prospective parents were asking questions about policies and procedures that had not yet been created or formalized.

The expansion required flexibility among administrators and faculty in their new roles and responsibilities as well as in their attitudes and expectations to the new operating environment. The head of school explained that the leadership team worked hard to find teachers not just comfortable teaching girls, but "who were really interested in tailoring their teaching and their classrooms to the boys." The head of school also sought a director who had gone "deeply into the social-emotional development curriculum for boys." The director of the boys school recalled being a fifth grade teacher in the girls school when news of the appointment arrived. The director explained, "I think the flexibility piece was huge. That piece was already there. We were small, we cared about each other, and we were flexible. And so that allowed us to actually build a stronger culture across the whole school." Despite School 1 and the director of the new boys division being flexible and caring, the director stated that there was a "lack of structure" and "roles" in the expansion process that necessitated greater flexibility and comfort with unease as a leader than previously as a teacher. The new director was unsure if this was the intention or

leadership style of the head of school, but came to understand that "there was a lot of freedom to learn." The demands of the position challenged the new leader to be flexible and intuitive, and learn quickly. The director recalled,

> [The head of school] wasn't telling me what to do. I was going to [the director of the upper school] for survival reasons. My feeling was there was tons of room and freedom for me to connect my style, or be able to use my strengths and do my job how I needed, I guess. At the same time, that was challenging because at times I felt like I was on an island.

The challenge to adopt a flexible disposition permeated throughout the school, including the faculty, who, by their own volition or need to adapt, adjusted to the school's new operating environment. The boys division director stated, "Teachers had to be flexible." However, the head of school argued,

> I think people have become more tolerant and more flexible. I think because people have seen the developmental differences between boys and girls are so different that people have become more flexible about what appropriate childhood behavior is. I also think that it has meant that we have gone deeper into the socio-emotional curriculum for both genders, helping them.

For faculty, this has also meant a flexibility reflected in changing their student expectations regarding classroom behavior and academic performance. One faculty member explained, "So last year was our first year. Anybody who applied to [the boys school] got into [the boys school]. We know because we had them. There's a lot of special needs kids." Another faculty member demonstrated understanding and flexibility with regard to the school's acceptance of an evolving

demographic profile of students into the classrooms in order to increase enrollment and sustain the institution, stating,

> It goes back to the financial thing, because we've looked at the applicants for this year and there are a couple that I would deny. Right there, even though I wrote "deny," the reality of it is that we'll most likely have to take them.

In the school expansion process, faculty and administrators also needed to demonstrate understanding regarding funding and resource distribution. School 1's CFO revealed that the financial stress and creation of the new division had created a serious contention over resources among faculty and divisions who were not aware of the legal restrictions due to nonprofit rules and regulations of philanthropy-funded operations.

The expansion endeavor may be described as a negotiated and unfinished process even though the doors of the boys school division opened in the fall of 2014. One faculty member described the negotiated nature of leading School 1's expansion process, stating,

> It seems like it's kind of a constant ongoing negotiation. But I think, what I also mean by negotiation is crisis. There are these situations that come up and it's then we have to address it. There was foresight, but these situations arise, we have to reshape or negotiate as that happens.

Because faculty stated that they may be "operating under one assumption, and then it changes," the expansion process for them has been a continual negotiation, and therefore, yet unfinished. A veteran faculty member explained,

> It's like two wheels not working well together. For now, it serves up a certain population, but at the same time it's not. It's lopsided a little bit. And that still continues—that the leadership of the three schools seems to be fragmented and that we are umbrella'd [as one

school], but there's not a lot of cohesiveness. That it continues to be fragmented, and not quite sure where that disconnect is and who can bring it together.

Celebrate early successes and unanticipated positive outcomes. Just two years after opening its doors of the boys division, School 1's leadership proudly reflected on the institution's early success of creating the only coordinate school in Hawai'i. Though the creation of the boys division, grades K through 5, created challenges for the faculty and administrative staff, School 1 recognized and celebrated how these difficulties promoted self-improvement and realization of unanticipated positive outcomes in the organizational change process. The CFO noted, "That's an outcome that's really remarkable. And a number of the other strategic plan initiatives have led to positive outcomes. This thing is coming around."

Working within a short timeline, School 1 was able to transform its physical plant, hire teachers, and set the structures in place to operate the boys division. The assistant director of admissions remarked, "I will have to say, though, being a few years out from [opening the boys division], it's great to see that everything we promised has come true. So that's really rewarding." Enrollment numbers did dip in the second year after inauguration of the boys division, but the board chair informed, "Our numbers are way up this year. I'd be very surprised if we weren't full next fall."

The faculty and administration also celebrated how the boys school expansion process directly and significantly challenged the status quo, which healthily forced the school to question "business as usual" and self-improve. The director of studies explained,

> We were doing things just 'cause we were doing them. And then having the boys come in, we had to question, "But why are we doing it that way? Is that really the best thing?" So I feel like it propelled us forward. Might not have been the most comfortable.

The director of upper school concurred, celebrating how the expansion led both to excitement of something new, but also, questioning of the very assumptions of School 1 formerly being an all-girls school. The director explained,

> I think the unanticipated outcome of the expansion was we got better. I'm talking about the whole school. I'm looking at what was happening with the boys' curriculum, what was going to be happening, and the sense of enthusiasm and joy and excitement, and learning about how boys learn and making us go back and look at, "Well, why are we an all-girls school?"

The faculty, administrative staff, and other school constituents recognized that the unintended positive outcomes caused by the school expansion process resulted in growth and improvements not just as a school, but individually, as teachers and leaders in a community. The director of studies stated, "To me, it just makes us stronger. You went through a really challenging, I would say like four years, maybe more. But I think, like every challenge, we meet it successfully, and so it just makes us stronger." The difficult challenges posed by transforming a 150 year-old institution were critical to the reinvention of the school. Explaining this process, the assistant director of admissions recounted,

> Through all the challenge, so much positive does come out of it. Not just the individual growth and learning, but the extent of the collaboration, and just all the improvements that we all make along the way as a result of some of the hurdles.

Because of these challenges, behaviors and intentions of faculty and administration became more purposeful, especially with regard to collaboration. The upper school director explained,

> We needed to be very intentional in how we were collaborating, which we hadn't been. I think that we've made more of an effort to be joyful in what we were doing, be more intentional in our communication with our parents, and that that was necessary.

The director of the upper school explained that other positive unexpected outcomes of the expansion process were deeper understandings of self and others, which resulted in improvements of leadership skills. This included discovery of the strengths and weaknesses of the administrative team, the roles the members were meant to play, and how they could rely on each other for support.

The school also recognized and celebrated the positive relationships among the boys and girls, and between the faculty and boys that resulted from the expansion process. The head of school explained the positive bonding between the boys and girls, stating, "It's been really good to see how the girls have just taken the little boys under their wings." Likewise, one faculty member shared how, as a result of the expansion, meaningful relationships quickly developed between faculty and boy students, stating, "I'm gonna get emotional, but these relationships that you get with either of the students are just rich, you know? And so I'm happy to have that. And I'm appreciative and grateful for it."

The satisfaction of School 1's parents represents what may be one of the most important early successes to celebrate. The head of school explained,

> What fulfilled the desired outcomes, I think, is how happy [the boys school] parents are. I've never seen a happier group of parents in my life. The boys school's parents. They have bonded. They are happy. They love what their sons are learning. Some of them came from other settings where the boys just were like fish out of water. [Now,] they can't wait to get to school every day. So I think that really affirmed the insight that if we

created something right for these young boys, it will be a good thing. And it has been a very good thing.

Impacts of School 1's culture and organizational climate in leading organizational change. For School 1, the organization's internal culture as well as the external operating environment presented leadership with substantive challenges as well as surprise assistance in leading the organizational change process.

School culture and leading change. The culture of School 1 reflected the pride and disillusionment of a venerable, but ailing 150 year-old institution in need of stable and capable leadership committed to the promise of a brighter future in spite of financial and infrastructural constraints. The head of school played an important role in reshaping the culture of School 1 and setting the tone for future modes of engagement. Formal and informal leaders at School 1 also played important roles that provided challenges and opportunities for the head of school in leading the school expansion process.

When the board of trustees appointed the head of school to the position a decade ago, School 1 was not only suffering financially, but emotionally as well. The effects of a disillusioned administration and faculty filtered down, impacting interactions amongst themselves and with students. The head of school recalled,

> There was just a lot of human repair work to do. Lots of mistrust. Lots of second-guessing. And lots of suspicion. And also, the effect of that on the kids was it was like prison camp. It was so strict.

The head of school first needed to unite the faculty and staff before undertaking strategic planning and any expansion possibilities to resuscitate the organization. In the first couple of

years of being in the position, the head of school recounted the leadership required to repair the culture, explaining,

> I came here as an interim and everybody was waiting for the next shoe to drop. Everybody was so anxious and so petty. It was terrible! But that was the culture. And it was so un-nurturing. Everybody had just been kind of put in these little silos of fear. And we couldn't have done [school expansion] without first humanizing it.

As the head of school led the healing process at School 1, opportunities to hire new teachers and staff arose to shape the new culture being fostered. The director of upper school stated,

> [The head of school] was intentionally getting us out of our silos, and creating a culture of openness and trust. If we were going to make a decision such as [school expansion], [the head of school] was very open, very honest, very communicative, and very much about wanting to make sure that we messaged this out in the clearest way possible so that we were going to build that culture that we're hoping for.

In reshaping a new school culture, the director of studies recalled,

> We were hiring people that were very flexible and collaborative. We were hiring exactly the type of people we want to hire who bring a lot of energy and great ideas and things like that. And I think that also spreads out. I think that's helped our culture a lot.

Two years after opening the doors to the new boys division at School 1, the head of school reflected on the process and the energy required of the leader, explaining,

> I really think that this has been my gift to the institution. I was not building a career here. I was not trying to rise to the top of the mountain. I just found a place that needed to be loved. And needed to be nurtured, not in the way that's pampering. But loved enough to

> say, we can't act like that. We have to change our behavior. It's been a journey. I love it here. I've never worked harder in my life. Ever.

While formal leaders guided the expansion process, those not typically deemed as traditional leaders supported the process of adding the boys division at School 1, which included faculty and students. The head of school recounted how the girls were critical to the success of the expansion, stating, "The naysayers were saying, 'Oh the girls will be very upset.' The girls weren't upset at all. They love little boys. And the older girls, particularly, love little boys." Students also helped determine how traditions and ceremonies would be altered with the addition of the boys division, demonstrating informal leadership emanating from the bottom-up. One such tradition relates to a ceremony in which senior girls had traditionally walked with kindergarten girls into the first religious ceremony of the year. In August of 2014, when the boys school opened, many faculty were concerned about how the boys would or could play a role. The head of school explained,

> So I sat down with the student government without any adults and I said, "You know, I have to ask you something. What are your thoughts about [the ceremony] with the boys and girls?" And they said, "We've already got it figured out. One boy on one hand and one girl in the other." And so, to them, that is the way it continued. They were just so open to it.

Among faculty and parent leaders, the director of the boys division explained how informal leadership was encouraged, and helped facilitate the expansion process, stating,

> Just giving the teachers the freedom to share their ideas and us having a philosophy in mind, so we're steering the ship. We were getting a ton of input and ideas and we were

encouraging people to inform with that. I think the fact that we're okay, we're comfortable with not having control over everything, and giving freedom in that way.

Hence, the head of school set the tone with regard to the positive attitudes toward and expectations that informal leadership had an important role in the organizational transformation process. The director of studies explained,

> We have some really amazing faculty members in all divisions who have amazing ideas and are so collaborative. So we just sort of get out of their way. So that's how we love to encourage informal leadership in our teachers, and to recognize them for that leadership that they have.

For some, resistance was one way to cope with the loss of what had been a source of great pride and rich tradition for nearly 150 years in the state. Indeed, the addition of the boys division did not represent a great accomplishment or source of deep satisfaction. This required leaders to clearly and repeatedly communicate the correct expansion vision, and, when necessary, restructure staff.

The head of school explained that the resistance was a way for the faculty and staff to cope with the rapid and transformational changes occurring at School 1 that forced the school to find new meaning through reinterpretation of traditions, ceremonies, and vision of the founder, stating,

> It's a way of controlling. It's a way of controlling your world if you think you've got some sort of slant on how things are going awry. But it worked out fine. Over time, it was fine. Once people saw that there was no threat to our traditions. No threat to whatever we're doing.

So although the process achieved expansion goals, the head of school emphasized the need to "be very careful" of resistance, especially that of veteran faculty in the girls division, who were the predominant naysayers.

The head of school demonstrated a flexible, though authoritative leadership approach in dealing with resistance among faculty and staff, and, when required, encouraged employee departure from the institution. In describing this authoritative leadership approach and process, the head of school stated,

> In terms of leadership skills, I always want to help people put their best foot forward. Help people by saying, "The girls have already figured it out. They have a boy in one hand and a girl in the other. Isn't that great?" And then the girls set the example for the faculty of a more spontaneous, less analytical response.

The head of school's approach to leading through the resistance demonstrated to the administrative team the leadership approach required, particularly with regard to veteran faculty who may have had a conflicting idea of how the school should forge ahead. The upper school director conveyed,

> If this was not the place for them, we needed to help them find another place that would be for them. I remember we talked about that, that there might be some people who, from this change, were going to be challenging. I think [the head of school] has always been very open in talking through and getting everybody at the table, so that when we do move forward, it's been with transparency, it's been with honesty, it's been with openness.

The causes of faculty departures from the organization were due to inflexibility or inability to do the hard work required to change. The director of the boys division explained, "People who thought it was too much work aren't here anymore," and as a result, "It's made a resilient team."

The head of school, however, explained that the root cause related to faculty's desire to rethink conventional approaches to teaching, stating, "They just want to live in yesteryear. I mean people who want no innovations in the classrooms, who want nothing creative like blended learning or anything like that."

To overcome resistance and realize the strategic goal of opening the boys division, leadership needed to communicate a consistent, accurate, and persistent message to constituents as a way to educate and reassure them of intentions, processes, and outcomes. These two—education and communication—"those were the big ones," according the boys school director. The director of upper school recalled, "We had to message [the vision of the boys division expansion] out, maintain our identity, and our history as a school, while also embracing the new identity and what would become the new history of the school." Among alumni, leadership overcame resistance, again, through significant communication and education efforts. The upper school director recounted,

> There were some targeted conversations that I was asked to have with alums who were messaging out the wrong message. They did not understand the coordinate school. They did not understand what our expansion meant here. That was one of the things, I think, if we're looking at what was my role in the implementation, it was to help with that piece, the communication that, who we are as a school, the identity as a girl's school, remains.

In overcoming fears and resistance among parents due to misunderstandings and misinformation, faculty and administrators repeatedly dispelled rumors. The boys division director recounted, "The confusion with us going coed, I don't know how many times I have to correct people. We're not coed!" The ability to overcome resistance also came from informal leaders among faculty who were, in part, influenced by the reshaping of school culture by the head of school,

and, in part, able to eventually embrace the reinterpreted vision of the school on their own. One faculty member stated,

> Yes, we're going to include [boys in the ceremonies] because we are one 'ohana. And [the head of school] was really instrumental in kind of making that call. And I think it has worked and we've turned it into something that's beautiful, but it was rough. It was territorial.

Veteran and newer teachers alike posited that a more proactive approach to thoughtfully reflecting on school culture and supporting the cultural change would have helped the community navigate the change process more deeply and quickly. Among constituents of School 1 perceptual differences existed regarding the value and valuation of symbols, traditions, rituals, and ceremonies for the school community. These perceptual differences extended to cultural loss and the amount of leadership and support required to successfully negotiate and lead the transformational change of expanding the school. One veteran faculty member argued that more leadership was required to improve the process, and shared questions that formal and informal leaders could have asked more frequently and more broadly throughout the school, stating,

> How can we facilitate this change being great for our culture? How can we bring our traditions in and make it great and have these two great coordinate schools and still maintain our identity, maintain our culture, maintain our values, maintain our traditions? That's the answer. In my mind, that's the answer. I think we would've grown so much more at this point.

One faculty member stated that the summer before opening the doors to the boys division, teachers were volunteering to participate in addressing how School 1 could modify traditions,

recalling, “We wanted to plan those things. We wanted to be those people that would help start, but [formal leaders] weren’t interested.”

For many, the organizational change that resulted in the addition of a boys division to what had been previously an all girls school for nearly 150 years felt like a death and birth in School 1’s community. Faculty members yearned for leadership support with the bereavement process and honoring the rich history and culture of the institution, while also commemorating the birth of a renewed vision of itself as it embarked on a new course forward. A faculty member expressed,

> A mourning period, some ceremony for the teachers to say goodbye to their school as they knew it, teaching, as they knew it. We should’ve had something. Not a mourning, like you don’t want it to be [sad], but some kind of ceremony to mark the end; or a new beginning, to celebrate. And that would’ve maybe softened [the experience].

Thus, faculty members sought a mechanism from leadership to support them professionally and emotionally as they went through the organizational change process, stating, “We have those non-formal leaders as our counselors, as our religious people. We have those people in place. We come together to support the students, and [yet] that huge piece was missing to support us.”

Herein lay a key leadership opportunity—one of not underestimating the value of culture at School 1, and recognizing the desire by those going through the process to make meaning of significant organizational change. One faculty member argued that the process of school expansion remains unfinished as it relates to cultural adjustment, stating, “I think that there’s still a lot of animosity in that the boys are taking over a lot of the traditions.” Despite the strong sentiments expressed by faculty regarding the value of cultural change and loss, the perception

by the board chair reflected a significantly different valuation. The chair recalled, "I don't think the traditions were important [to the expansion process]."

To assist with the school expansion and validate the richness of School 1's history and traditions, faculty desired greater formal or informal leadership support. On a practical level, faculty members expressed a desire for greater instructional support and structures to adjust to the boys in the classroom who "have some issues." One faculty member explained,

> I wish there was a little more support for them. I wish we could figure out what we're gonna do because to me, it's just a doggone shame. If I could just eliminate from my class a couple of kids, I could have an excellent class, and they could all learn and their parents could get their money's worth. As it is, total chaos. I wish we had a structure that I could send them out or send them with somebody else.

In their desire for more support, a number of faculty members directly expressed a need for informal leaders who could have filled the cleavage between perceived and desired needs by leadership and faculty, particularly with regard to processes and guidance. One faculty member explained,

> It can be summed up like, "We went through this process, this decision was made." But then how it breaks down and how it was implemented, there didn't seem to really be a bridge between that and then what exactly happened. So that informal leadership that could have been really helpful in pushing all of us forward and supporting everyone and bringing us all together, was lacking.

Instead of waiting for a formal or informal leader to facilitate this bridging of divisions, one faculty member described the need to assume an informal leadership role, stating, "I've done my

own bridge with just talking to the boys." Another teacher explained, "But again, if we had those informal roles of leadership, that could have created those bridges."

Organizational climate and leading change. As demonstrated previously in this section, the organizational climate, or operational environment, played a critically important role in School 1's decision to expand. This includes macroeconomic forces, changes in demographics, shifts in technology, international opportunities, human resources, financial resources availability, markets for School 1's services, and partnerships. In addition to these, three themes emerged as important to the school's expansion process that relate to (a) the ability of a school head to understand and lead within Hawai'i's culture as an "outsider;" (b) the critical role of effective communication with school constituents; (c) unanticipated challenges. Together, these frustrated and facilitated leadership of the expansion process at School 1.

As a recent transplant to Hawai'i, the head of school was initially challenged by the board of trustees and school constituents' lack of faith and trust in the coordinate school model as appropriate for Hawai'i's independent school market. The head of school recalled, "I was a newcomer in town, and as we know about Hawai'i, that is not always the voice people will listen to." The board chair reflected on the cultural differences and dynamic between the head of school and board culture, stating, "[The head of school] was not as sure about how to handle the situation. Not as sure about the Hawai'i community. [The head of school] came from a very different environment."

In addition to a reticence to trust the school's governing board with regard to the coordinate school model, the head of school identified the board's limited exposure to alternative ideas as a hurdle to the expansion process. The head of school explained, "The other obstacle, as you know, in Hawai'i, people know what they know." The head of school further conveyed,

> When people live on an island, they're limited by their geography. Why should trustees need to learn all this stuff? They don't. They have a world here and that's what they tend to. And educators, too. If they don't get off the island.

As a leader pioneering a new school model in the state, the head of school faced a particularly challenging role initially in convincing the board and community. The head of school recalled,

> The process was kind of a boxing match, sometimes, because nobody had done it. So they didn't relate to it. But now, there is great understanding of the value of the model. So we finally got through it. It was really hard work.

The operational environment of Hawai‘i also presented School 1 with beneficial partnerships, including relationships with a local university and organizations that helped sustain the school's operations through value-added programs for its students. These types of relationships helped sustain the school while it was undergoing the expansion process. In describing the relationship between School 1 and a nearby university, the head of school stated,

> We also have a relationship with [a local university], where qualified kids can go. And they use our gym for women's volleyball, and our kids [attend classes] for free when there's space. The Hawai‘i clientele isn't as discriminating about things like that.

The broader Hawai‘i community also helped facilitate the expansion process through its participation in generously contributing to fundraising efforts to support the boys division. The CFO explained,

> We have received incredible support from not just our board of trustees, but their immediate circle of family and friends, and all of the local philanthropists and foundations that they can reach into and draw support from. I think this is such a crucially

important institution to this town, and people have stepped up to recognize that and contributed to making it work and setting it up for another 150 years of success.

Leadership's need to educate the broader community of the coordinate school model and how that would work at School 1 was critical to the process of persuading parents, alumni, and community members of the organizational change vision. The board chair stated, "The alumni were important," and challenging to persuade. The head of school recalled, "It was a harder sell here because we were still dealing with 'Oh, if [a competitor] hadn't gone coed, we'd be fine!' [This competitor] decided to go coeducational in 1979?! And, we were, until that time, 'the sister school.'"

Misunderstanding and confusion by the alumni, parents, and community members dogged school leadership despite their consistent message of creating a coordinate school structure. The board chair explained that the girls school was "exactly the same," though the community misinterpreted it to mean coeducational. Faculty members described this misunderstanding and resultant tension as a result of a deep pride for the rich history of the school, even among community members who were not connected with the school. One faculty member relayed, "People were mad. They weren't a part of us, but they were so mad," because of the perceived change in tradition. Among alumni, the feelings were equally as strong. One who complained of the changes, but sent her daughter to a competing school was told by a faculty classmate that without the change, "our school is not going to survive."

The reaction by alumni, parents, and community members to the perceived dramatic changes in the program for the girls was no surprise for the head of school. The head of school explained,

> I knew what would happen, no matter how much we tried to explain it. And so it was as if people couldn't imagine that people could create something like this. And so I think "culture eats strategy for breakfast." But over time, I think we were able to help people see and experience the distinct nature of the school and how it wasn't flying in the face of the tradition.

School expansion and implementation of the strategic plan led to many new initiatives that occurred at roughly the same time, thus complicating the operational environment and contributed to unexpected challenges. Among these initiatives, the CFO listed re-investment in enrollment management, admissions, and marketing, as well as philanthropy and alumni outreach as several major ones for School 1. The CFO explained, "As with many great strategic plans, you get to implement them all at once. Regarding the operational environment, I think there was an awful lot going on."

Once the doors of the boys division opened, administrators and faculty encountered a host of unanticipated challenges that included lunch times, playground rules, pick-up and drop-off times of children, maintaining the integrity of the coordinate model, determining appropriate curriculum specific for boys, and deciding on bathroom locations. The director of the boys division recalled, "Keeping true to our messaging—that was a little bit of a challenge." The director explained that unexpected challenges were persistent, requiring time and energy to resolve, stating, "All these things you wouldn't think about would just pop up. And it seems like for our first year, that was consistent." One example of many includes bathrooms for the boys. The assistant director of admissions explained, "I don't think any of us were anticipating that the location of the restroom for kindergarten boys was going to be so important. It wasn't a difficult solution, but that was very odd, very unanticipated."

The broad and varied influences of the organizational climate thus had important roles in leadership's decision making of School 1's expansions, and presented important challenges that frustrated and facilitated the organizational change process. These related to the school head's knowledge and understanding of Hawai'i's culture, communication with constituents outside the immediate school community, and management of unanticipated events that required attentive and adept leadership.

School 2

School 2 has been educating children in the state for nearly a century. Founded as an all-girls high school in the early 1900s, it expanded grades to become coeducational within the last decade, and exists as a PK through 12 school today. The school has been at its current location since the early 1930s. The head of school is an alumna and one of the longest serving heads in the state of Hawai'i, with nearly 30 years experience. The governing structure of the school has gone through several changes over the years, though it has always been affiliated with a religious organization whose offices are based on the U.S. Mainland East Coast. This religious organization had always appointed one of its own to chair the board of directors, selected the head of school, and made the final call on all major decisions. In 2011, this religious organization created a corporation largely comprised of lay people who oversee and sponsor ministries in education and health care across the U.S. and abroad of which School 2 is one ministry. The corporation participates in the board meetings with one non-voting liaison member who serves in an advisory role. Today, School 2's governance structure is locally based, led by a lay chair and a board of directors that consists of 13 Hawai'i residents, including the head of school, who serves as president. The current chair of the board of directors has been serving in this position since 2011, and has been on the board since 2004. At the time of the expansion, the

school's administrative team consisted of the head of school, two assistant principals, the preschool director, and the business manager. Today, just the head of school remains of the administrative team that oversaw the expansion process.

Factors that prompted School 2 to expand. For School 2, the decisions to expand to elementary grades 1 through 5 and become coeducational directly relate to its poor finances primarily caused by declining enrollment, increased competition, and demographic trends.

Non-sustainable finances. Since the early 1990s, weak finances had posed a persistent challenge for School 2, endangering its ability to sustainably operate. Absent a sizable endowment, School 2 had relied on its sponsor to fill the financial gaps that arose. Declining enrollment, therefore, drove School 2's decision to expand, and later, the Great Recession, both hurt and helped the expansion process.

Poor finances presented a sense of urgency and served as the primary cause for School 2 to become coeducational and expand grade levels from its original 9 through 12, all-girls school. It had long relied on its sponsor, the religious organization, for financial support, but also depended on fundraising to sustain operations and educate its students. Because its students largely come from blue-collar working families, the current board chair explained that it was "a challenge, because you need funds to do something like that. That's where you have to do all these fundraisings."

The challenges to financially sustain School 2 were palpable and pressing for the board of directors and religious organization that essentially ran the school. The head recalled, "I knew then that [our sponsor] was thinking about shutting it down because 270 to 290 students, financially, you can't support yourself." Though the school was able to pay its bills, it was challenged with compensating its teachers with "decent salaries" and saving for an endowment.

For these reasons, when the head of school was appointed leader of the school, the board had a clear directive for the future. The head of school explained, "The school wasn't putting anything aside. It couldn't. So the edict was, 'Turn it around, or we're going to have to close it.'"

The school's decisions to appoint a bank manager as a member of its board, and later, as chair of the board of directors, reflect School 2's strong focus on financial security. Thinking about the decision to become coed, the board chair stated, "I came in with an objective mind, and a financial hat that says that if we don't do something, this school is not going to survive. That is the core reason for the school's expansion—financial."

School 2's weak finances were primarily the result of declining enrollment, which diminished revenue streams to support programs and operations of the school. The head of school reflected, "I could see the handwriting on the wall. We were doing OK, but not spectacularly as far as enrollment was concerned." The head explained that in 1991, enrollment totaled 270 for grades 7 through 12, prompting the school sponsor and head to begin to consider ways to expand. The head of school recalled, "We were saying no to 50% of the population by only taking one gender. I knew I had to do something to save the school." These concerns led to the expansion of a 6th grade and a coed preschool.

The decision to add a kindergarten and elementary school, grades 1 through 5, however, did not happen until 2006, when the school also decided to begin the process of becoming coed across all grades. The current board chair recalled the growing immediacy of a need to take more serious action in the early 2000s due to the declining enrollment, stating,

> It was an all-girl school and enrollment really was declining. [The school's sponsor] was at the cusp of deciding whether the school needed to phase out. We had one of the lowest tuitions among [all of the independent schools], so they needed to do something.

But the thought of changing a long-established educational institution in the state proved challenging for the school. The board chair stated, "It was just mind-blowing because School 2 had always been an all-girls school," but "It was either we try this out and try it in small steps, or look down the road, that the school would not survive."

Like many independent schools, the conditions of the national and local economies affect enrollment and, consequentially, financial performance of the organizations. When the Great Recession struck, it negatively impacted School 2, but it also helped because other independent schools were closing down and families were looking for educational alternatives for their children that provided quality, convenience, and affordability. Commenting on the impact of the economy on School 2, the head of school stated, "The economy affects us. When the economy is good, parents can pay. When the economy takes a nosedive, we feel the effects of it." In a similar way, the Great Recession exacerbated the challenge for School 2's traditional families to meet tuition payments. The board chair recalled,

> When the economy took a turn in 2008, the school was impacted financially as well because, although the tuition was lower than most schools, families still couldn't afford to pay for the education. Some we kept on with scholarship funding and what not, but others just couldn't handle it.

Interestingly, the Great Recession also proved to be a boon for School 2 as it created a new market whereby those families who could no longer afford more expensive independent schools, now inquired about sending their children to School 2. The board chair recalled that after the school expanded in 2006 to become coed and add the elementary division, possibilities emerged that had not existed prior. The chair stated, "Once we started going through that process of adding one grade at a time, a lot of things in the economy changed. There were schools closing

down. It really opened up a lot of opportunities." However, the chair emphasized caution and vigilance, stating, "The school continues to work on increasing enrollment regardless of a lot of the issues in the economy."

Competition and demographic trends. Market competition and demographic changes explain additional reasons for School 2's decision to expand its program offerings to elementary grades and boys.

The traditionally higher than normal national average of Hawai'i's children attending independent schools has long fostered a healthy environment for these schools to emerge and grow. However, these same schools have experienced increased competition over the last decade, forcing some to close their doors or consolidate with other institutions, and others to expand. This change of landscape was reflected in the comments of School 2's head of school, who recognized, "Competition is a big thing now." With the number of independent schools competing with one another, a pecking order has emerged based on the school's reputation. The board chair explained this phenomenon in Hawai'i, declaring, "If you're not from [certain independent schools in the state], you really have to work harder and fight harder because people really look at whether you're a public school or private school graduate. And which private school?"

Nearby School 2 there are a number of independent school alternatives where families can send their middle school- and high school-aged daughters and sons. The head emphasized this sense of overcrowding in the market and ratcheting up of competition over the past decade, stating, "We were all-girls, 6 through 12, with a preschool attached, and we were surrounded by several schools, K-12. There were also four schools for girls, single-gender, which, in our estimation, are too many."

Even after the expansion process began for School 2, competition increased from other independent schools attempting a similar strategy of sustainability through expansion of divisions, but especially, gender. School 2 believed that, in particular, another single-gender religious-based school posed as a significant competitor. The assistant principal of the high school stated, "They weren't really happy when we went coed either because we are actually very similar in terms of our clientele and the needs of the parents." As a result, independent schools incentivized ways to attract new students to their campuses. School 2's assistant principal of the high school explained that one such approach reduced its enrollment by 40 to 50 percent in a single year, claiming,

> This year we have our smallest graduating class of 45 students. Because the class of 2016 was the year [our primary competitor] went coed. And they offered girls half off of tuition. The following year they did not. So that impacted us that one year. It is our smallest class.

Additionally, School 2's board chair explained that this competitor's decision to admit girls, grades 6 through 12, meant some loss of enrollment to them because girls who would otherwise have attended School 2 now joined their siblings in attending the competitor's school.

Demographic trends and developments in Hawai‘i's faith-based school landscape were subtle, but important to the decision making process for School 2 to expand both by grade levels and gender. Reflecting back historically, the head of school pointed out that School 2 might never have had to expand as it did had the needs of Hawai‘i and gender roles been different in the early 1900s. The head explained,

> That's why it remained all girls. Because the focus then was the girls becoming [servants of God] and going into nursing. Men didn't go into nursing back then. If they had, we probably would've been a coed school from the beginning.

The social changes occurring externally from the school mirrored changes in the market demands. The head of school explained to the board of directors the need for the school to accurately respond to the trends among single-gender independent schools in order to effectively compete and financially sustain the organization. The head stated,

> I had a couple of board members come in and talk about sustainability, and the biggest argument that we used with them is that there was a need, when they were students, to have all these girls schools. That need no longer existed because there were so many others and we needed to be able to compete.

Chief among the opportunities for School 2 to become more competitive was recognition of the market needs for affordable and convenient, faith-based coeducational instruction. School 2's head acknowledged, "There were just too many schools for girls and not that many parents wanted that." Indeed, for School 2's market, families had choices, and one in particular, was just a few miles away. The head of school explained,

> [Our competitor] was always their first choice. Coed. This is what the kids knew. They didn't know single-gender. Now, some of them were going to [one of three] single-gender schools nearby because their parents had graduated from there and it had value. But the students, themselves, did not. So once we went coed, enrollment started to pick up. Now, they had two choices, [our nearby key competitor] and us.

In addition to the trend of direct competitors becoming coed, School 2's head recognized that elementary schools of the same religious orientation had also become coed, which had

serious implications for enrollment. The head of School 2 stated, "What I also saw is the elementary schools [of our religious faith] are all coed. And we were not getting anybody from our [faith-based] elementary schools." This development and the rising challenge by parents to transport their children to different schools had impacted School 2's enrollment. The math department chair explained,

> It used to be the pattern that if there were siblings, the boy would go to [the boys school] and the girl would come to School 2, and so it was hard for parents to juggle them transportation-wise. And so they asked the head of school, "Can you have all of them?"

Another development that influenced School 2's decision to expand came from parents with older daughters who valued the education and wanted the same experience for their sons and younger daughters. The world languages department chair explained, "Once we opened the school for boys, we saw those siblings coming very quickly. I remember certain cases, where families were very happy that we became coed for that particular reason."

Processes that facilitated School 2's expansion. The process to facilitate School 2's expansion of creating an elementary division and becoming coeducational necessitated an urgency to prioritize a business-oriented disposition to address declining enrollment and poor finances, and leadership of a market-sensitive plan rooted in the identity, strengths, and market opportunities of the school. It required the head of school to manage the challenges of resistance among constituents while supporting staff, and celebrate early successes to build momentum.

Prioritize a business-oriented disposition to declining enrollment. The weak financial state of School 2, even prior to the Great Recession, created a sense of urgency among the board and head of school to prioritize a business-oriented disposition to address the trend of declining

enrollment. This required School 2 leadership to be united and authoritative in decision making, seek out community partnerships, and take a deliberate, but flexible approach in the process.

The implications of an expansion plan at School 2 that included both the addition of a division and, more significantly, boys, meant that leadership needed to be united in its decision making and authoritative in its approach. Leadership's decision to prioritize the expansion was the first step to begin such a process. Reflecting on School 2's time sensitive need to prioritize financially viable solutions, the math department chair stated, "It's because some schools had closed. So the head of school and the leadership group had to make some decisions." School leadership deemed these decisions both necessary and natural. Speaking of the organizational change, the head of school explained, "Every 80 to 100 years, institutions need to make a major change or they're going to collapse. And this was time for School 2 to do this. I don't think we'd be here today if we hadn't."

In 2004, when the recent expansion processes started, leadership began discussions at the board level regarding what expansion might mean for School 2 and how it would impact facilities, culture, and traditions. Key to moving School 2 forward in the expansion process was the head of school and board chair uniting the board and school sponsor in the idea that it was the right decision. The board chair explained, "It was a challenge to convince some of the other board members that this is the right way to go because there was a lot of concern about changing the school." In particular, the alumni board members posed the greatest challenge. The board chair stated that "because of School 2's history and traditions," it was "a challenge at the very beginning to get some of the board members to say, 'Yes, this is what we need to do,' because the alumni were all female." The chair recalled that some of the alumni members expressed incredulity with the decision, stating, "We're actually going to bring males into this school."

The facilitation of the decision making process was primarily the responsibility of an authoritative head of school who was resolved to continue the school's operations. The head commented, "I graduated from here. So we weren't going to close my alma mater." The head executed the process through a methodical approach, explaining, "Once I decide this is a good idea, I just go down and with every objection that's put in front of me, I get the answer and move it aside. That's my style." This approach was reflected in the faculty comments. The vice principal reflected, "At the time when we decided to go coed, I was just a faculty member so I wasn't involved in the process so much," which was corroborated by the science department chair, who stated, "We weren't a part of the decision making process." So while the head of school explained that the decision to expand "was a board decision" arrived at by vote, "The decision came from me, working with the authority figures, convincing them that we needed to go down this road."

Important to the success of the decision to expand included the head of school explaining to the board that the gradual process would be a way to ameliorate the disruption to the organization's history, culture, and traditions. The head of school explained,

> We were saying no to 50% of the population by only taking one gender. And then again, we're starting at kindergarten. It's going to be a slow process so that kind of made it a little more palatable. Winning over some key alumni who would then go out and talk to other alumni, and then having a couple of alumni say, "Well, I can send my son now," was a big turnaround.

The composition of School 2's board proved to be helpful, too, to the decision making process to expand. In describing the board, the chair stated, "We all seem to have the same core values. We don't seem to have any dissension at all when we're discussing things and making decisions."

The chair explained that this characteristic is the result of purposeful selection of its members, stating, “It’s who we select to be on the board. They’re connected in some way to the school, whether their children go to school or they’re alumni. [All] our core values fit in well with the school.”

Once the board was convinced, however, the decisions to expand required the school’s sponsor to give its blessings because the institution was fundamentally changing by becoming coed. The current board chair affirmed the final authority was in the hands of the school’s sponsor, represented in the board chair at that time, stating, “The board was making the decisions, the hard decisions, and, of course, having to make sure that [our sponsor] was also OK with it.” The head of school succinctly explained the power of the sponsor, stating, “Control, sponsorship. They controlled everything.” The governing structure at the time of the expansions was such that the board chair would phone into the meetings from the Mainland. The current board chair stated, “It was the head of school and [our sponsor] that were in charge” and that the sponsor, represented in the board chair, “pretty much ran the meetings” and “had the ultimate say.” So the board acted as an advisory body, but did not set policy for the school. The head of school explained, “The way the leadership was set up, [our sponsor] had to give permission to make that policy change—that we would be accepting boys.” Though the governing structure has changed since then, the influence of the sponsor remains, as current board chair explained, “To this day, School 2 is still owned by [our sponsor].”

The trend of declining enrollment necessitated the head of school to sharpen the school’s business operation perspective and seek partnerships that would ensure the financial viability of the school. One solution was for the school to build relationships with the students and faculty of a local university by offering convenient, safe, and guarded parking. The head justified this

decision, stating, “But you’re also running a business. And we can’t keep going into the parents’ pockets to pay for everything. So we decided to charge for parking.” In surveying School 2’s parking lot, the head of school explained, “That’s all [the university’s] cars. Very few are our students’ cars. And they love our parking lot. We always sell out.” A second revenue generator for School 2 involved strengthening a partnership with a local swim club that was already paying to use School 2’s deep-water pool. Slated to lose access to their shallow-water pool for toddlers and youth, the swim club asked the head if it would build a second pool specifically appropriate for young children. The head explained, “So I wrote a grant to [a local foundation], got the money from them, and the pool. And so now, we host the local swim club. All that revenue goes into the operational budget.” With School 2’s expansions, the head stated that it can use the pool as part of its expanded program for its “younger ones, during PE, during the school day.”

To offer attractive programs to families, the head of school needed to ensure that the school employed high quality faculty who were willing and able to teach appropriate grade levels as well as students of both genders. This was especially important in the school’s dual expansion. One way to accomplish this goal was through hiring as teachers left. The head of school emphasized, “Make sure you have the teachers. And make sure you have the right teachers who can handle it.” The head clarified the need for a straightforward approach:

> If you don’t have a good rapport with the students, if they’re not happy to be in your class, you can’t teach them. You’re not effective. If you don’t like the kids or the kids don’t like you, you need to move on.

Indeed, the world language chair disclosed, “Some teachers left because they didn’t want to be teaching boys. So we had that and that is one of the questions I would ask: Would you be willing to learn to teach boys?”

In addition to hiring well, the head of school rewarded behaviors that contributed to the provision of "good teaching," as described by the science department chair. The chair explained, "So now, there's merit pay," where teachers earn points that add up to a financial bonus "for maintaining your online class page, updating it regularly with assignments, having field trips, bringing in outside speakers" and chaperoning dances or attending athletic events. The chair speculated that the incentivized pay resulted from the school, "getting to a size where we wanted to do something more formal and push the faculty in that direction."

A second incentivized program that the head of school implemented to protect the finances of the school involved provisioning of a bus service to help families with the challenges of the daily commute. The head explained, "Students still come from all over the island. So for those families who say, 'We just can't afford this; it's too much,' we decided to get a bus and keep those students. Keep the growth of the school." Thus, a heightened business sense attuned to address problems as they arose, characterized the head of school's actions during the expansion process. The head explained, "When the problem surfaces, and it means we're going to lose students. We deal with it."

Though School 2 leadership carefully planned to start small and slowly increase student enrollment by grade level and gender, it remained flexible and responsive to constituent needs by altering its original, deliberate approach to expansion.

A year and a half before executing its expansions, School 2 began exploring survival options in a methodical, purposeful fashion. The head of school instructed, "So you need to do all your homework ahead of time. If you're just expanding by adding a grade level, it's not a big deal. But if you're going coed, that's a major change for a school." For School 2, however, the decision was to do both. Recalling this challenge, the head clarified, "Actually, two decisions

were made. Remember, we were grades 6 to 12, girls, and we had a preschool. So, at the board meeting, when the decision was on the table, it was, go coed, plus open an elementary." In part due to the challenge of "changing the culture of the school from an all-girls school to coed," the board chair recommended that expansion processes start small, stating,

> Anytime another school decides to make a change, it affects you. My biggest advice would be to start small. Take one step at a time. I don't think it would be wise to go in full-force. There are a lot more elements that can add to that challenge of making a change.

As a result, the expansion plan for School 2 was to be slow and gradual. The head of school recalled, "In 2006 we opened the kindergarten, coed. And we made the announcement that the intention was to go right down the road until we were fully coed. Kindergarten through 12. And the estimation was, it would take 13 years." By presenting the case for a gradual, but deliberate approach, leadership intended to minimize the impacts on school constituents. The head of school reflected,

> The increase in enrollment came gradually. So adjusting to it meant maybe hiring a teacher one year, and another teacher in another year. Rearranging, doing things of that sort. It wasn't like we went from one year, 270, to the next, 510. I don't know how we would've handled that.

Reflecting the decision to go slow and start small, school leadership engaged its constituents in a purposeful way a year and a half before. The head stated,

> All the processes that went into it; it was notifying the alumni, some were happy, some were upset. Explaining to them the necessity of doing this. Dealing with teachers. Some

of them didn't want to teach boys. All kinds of things that had to be looked at. Dealing with parents, dealing with current students.

Despite the intention, the expansions did not unfold completely according to plan. Because of constituent requests and School 2's desire to increase enrollment, leadership needed to be flexible and make exceptions to the plans. In the first few years after opening its doors to the elementary division and becoming coed, School 2 received requests by existing and new families to admit boys in higher grades, so leadership decided to enroll a few boys out of sequential order. The vice principal recalled, "It wasn't a clean, linear progression. There was an entry point at the lower, and then a few up, and then there was a jump. But once it got to high school, it was a gradual process." The conscious decision to slowly grow the school created some challenges for faculty that required flexibility in moving from single grade to multiple grade level classroom instruction. The vice principal recalled,

> It was hard to keep teachers that were really familiar with multiage learning and the process because it requires a lot of differentiation. Some of the teachers struggled with it, and I think our parent clientele didn't really like it.

As the success of the expansions led to increased enrollment, the existing classrooms were inadequate to meet the growing needs of the school. The vice principal recalled, "The middle school had to move up to the high school classrooms. So it was [grades] 7 to 12 up here and it got crowded. And then we got more students." The demand for more instructional space meant that the school's sponsor needed to be flexible with the campus' facility use policy and change traditional arrangements with the community. The head of school explained, "We also needed to negotiate it with [our sponsor]. When we first started this, we had the first floor of what we refer to as [Central Hall]. And the other three floors, we had college boarders." As

enrollment grew, the head of school made repeated requests of their sponsor for more space, which was granted one floor at a time until the college boarding program was shut down. The head explained,

> So we went in and knocked out walls to create classrooms in the buildings and now K to 8 is down there. So that was something that if I didn't have that, and the willingness of [our sponsor] to say, "OK, that at a real reduced rate, the school can have this," we wouldn't have been able to grow that fast.

In addition to the need for flexibility on the part of the school's sponsor to support the conversion of existing campus facilities to meet instructional needs, leadership needed to be cognizant of and respond quickly to student needs, particularly during the initial steps of the expansion process. This is especially true of facilities preparation when adding another gender, as the head of school explained,

> Once the boys hit the scene, we needed a band room, we needed a weight room, we needed a locker room. So all of that pushed us into getting a gym before we were really ready to do so financially.

As a result of the boys moving up the grade levels and the school not having a sizable endowment, leadership needed to rely on the understanding of the school's sponsor, once again, to enhance campus facilities. The head of school stated, "We had to borrow money from [our sponsor] to build the gym." One area, however, where there could be little flexibility, concerned the boys' lavatories. The board chair, head of school, vice principal, and faculty all voiced concern over the unexpected time required to have bathroom facilities ready for the boys. The head of school summarized this concern stating, "If you're going coed, make sure you have the bathroom facilities. That's crucial."

Develop an expansion plan reflective of school identity, strengths, and market opportunities. School 2 leadership developed an expansion plan reflective of the school's identity, strengths, and market opportunities while reaffirming its commitment to academics amid athletic successes. By grounding the expansion plan in the organization's values and mission, leadership capitalized on its strengths to fill niche markets.

The mission and values of School 2 grounded the expansions in the school's long history and identity as an independent school offering a faith-based education with a long tradition of serving Hawai'i's children, especially of blue-collar families. So while School 2's approaches to classroom management and instructional practices were "handled a little differently" after becoming coed, the head of school explained, "The basic assumption that we are here to educate did not change. It's just who we are educating changed." Moreover, it was important that the school's values, embodied in its namesake and traditions, did not change as a consequence of the organizational changes. The head of school explained the school's firm convictions, stating, "The values of the school never changed. We are who we are. You either buy them or you don't come here. That was not sacrificed at all." These values were well understood by faculty and embedded in the school culture. The science department chair reflected,

> The head of school has repeatedly said, the ethic of [our namesake] has to be paramount. It has to be at the top because [our namesake] welcomed everybody. And so that is what the implementation has meant. It is to be a welcoming place for boys and girls of all abilities, whether they seem to fit right now or not.

Informed by these values, the mission of the school provided leadership with a rudder to steer the organization through the dual expansion processes. The head of school confirmed, "Going coed did not change the mission statement." In fact, the board chair explained,

> The mission statement was where the opportunity was: to provide a [faith-based] education with joy. And just who [our namesake] was, and his mission, and his philosophy, and his values. Those were the opportunities—opening up a [faith-based] education to whomever wanted it, even if they couldn't afford it. If the desire was there, the school found a way to try to get them into the school.

The board chair summarized the enduring role of the school's values, mission, and history throughout the expansion processes and beyond, declaring, "The school continues to operate under its mission statement. The values of a [faith-based] school environment, the mission statement, the spirit of joy, [our namesake], and [our sponsor] were the guiding principles of School 2's expansions."

The school's expansions provided leadership with opportunities to identify niche markets that capitalized on new and traditional strengths so as to offer students relevant, engaging, and meaningful programs. School 2 benefited from strengths related to board leadership capacities and new student athletic prowess, but also from achievements across academics and the arts, which the head of school targeted as niche opportunities for growth. The growth and success of the programs, in turn, attracted more students and helped counter the snowball effect of the previously limited program options due to the declining enrollment numbers and weak finances.

As a result of perspicacious leadership and deliberate planning, School 2 benefited from a diverse and capable board attuned to meet the needs of the expansion process. These included individuals with expertise in fields such as law, construction, academia, banking, athletics, and business. The board chair explained,

> We have alumni; one of them is an entrepreneur. We also still have a [servant of God] on the board, aside from the head of school, who is also an alumna. So as far as leadership

> capacities, I think we cover quite an array of people with different experiences and industries who can help the board and the school with making decisions.

The board's leadership capacities were important in the decision making of the expansions, though they played an even greater role once the boys entered middle and high school. The board chair explained,

> So in terms of the school's leadership and capacities, that critical decision to allow boys in the school was one thing. However, it was what happened several years later to expand it to the different grades, to expand it to the sports involvement [that were even more critical].

The chair explained that the role of the board members was especially important to the creation of new athletic programs, which were critical to and concomitant with the process of admitting boys to the school, stating, "Several years ago, we brought in a board member who had experience with the [local athletic league], but who was also an educator." Building these capacities in the board helped target niche markets and achieve the strategic goal of increasing enrollment. The chair stated,

> It's a totally different environment once you start getting boys in middle school and high school because sports play a big role. If you don't have the sports in there, you're not going to draw the boys to the school. So, I would say all of the different experiences and capacities of the board members were really critical to the continual growth of the different grade levels.

The chair concluded, "We try to find board members who can help in these different arenas so we can continue to grow and hit our strategic plan number of 600 students by 2020."

As a result of leadership purposefully building its own capacities, being attuned to student and market needs, and then communicating its achievements to the community, it was able to dramatically increase enrollment and programs. The head of school recalled the contribution to enrollment by its athletics program, alone, stating,

> Athletics have made a big difference. If you have winning teams, kids want to play for winning teams. They don't really care if it's D1 or D2. We're publicizing that this is a big deal, that one of our young men is getting national football league recognition. Those kinds of things have helped and it attracts even more students.

The successes of the athletic program, however, posed both challenges and opportunities for School 2 leadership related to sustaining its reputation as an academically rigorous school. On one hand, athletic programs have been expensive to fund, but with clear benefits to the sustainability of the school. The board chair explained,

> That's where the board has its challenges. It is to take advantage of its opportunities. In the last five years or so, the opportunities have just been there. Schools have been closing down in the area. Football programs died down in [our area]. So, you hone in on all those opportunities, and it just opens the doors for enrollment.

Therefore, the expansions have challenged and strengthened the very assumptions of who School 2 is in fulfilling particular needs in the community—of providing an academically rigorous, faith-based education to individuals who perhaps would not have been able to afford such an education. The board chair reflected on the challenges to the school's identity created by the expansions, stating,

> The sports aspect has actually also been a negative. People think, "School 2 now only brings in kids for the sports." Whereas there are a lot of other programs that the school

> offers on the academic side. So in that respect, the expansion has brought on this different reputation. We want to get away from that reputation.

To help counter this reputation, the school has been firm with athletic eligibility requirements for its students, particularly with regard to course grades. The board chair stated, "The head of school is very tough when it comes to academics. If you don't meet your grade point average, I don't care who you are, you don't play. It's as simple as that."

In an effort to reassert its earlier reputation, the school worked hard to expand its academic and arts programs. Within the school, faculty remarked that the decisions to expand resulted in "consequences" that meant that new curricula needed to be developed in order to support students from their initial experiences in elementary school to high school. The board chair concurred, stating,

> It's programs—new curriculum to continue to draw the enrollment. And that's the change that is evolving. It's no longer expansion in terms of whether you add boys. It's what you do, what programs you have available to continue that expansion. Those, I think, at this point, are critical.

Though the goal was to reaffirm the college preparatory emphasis at the school, the growth and strengthening of School 2's academic and arts programs occurred organically and by the directed efforts of the head of school. For example, faculty who were interested in expanding their teaching repertoires in fine art, music theory, and computer science started new Advanced Placement (AP) courses. The head of school shared, "We've expanded the curriculum so that we're now offering 11 or 12 AP classes. Next year, we're bringing on three more." In addition, the school decided to begin instruction of three world languages in their expanded elementary division. As a result of the refocus on academics and arts, the head of school explained,

> We've got more and more teams going to state competitions. Math league. We were always on the bottom with math league. Now we're 5th from the top. Speech is better. We have a school play every year. It used to be up and down. Now we're consistent.

Another consequence of the expansions was the ability of the world languages department to expand its offerings to fill niche interests. This helped reaffirm School 2's reputation of a strong commitment to academics, and met the desires of students and parents who sought instruction in a variety of languages. The world languages department chair shared, "We have some children who are either English as a Second Language students, or whose parents are from Japan or China and they choose the school because we offer those languages; even Spanish, sometimes." The ability of the school to offer languages and services not always offered at the public schools in the area was one area in which School 2 found a niche market. The chair further explained that though it took several years, the curricular alignment across world languages and grades was complete by 2013, which further strengthened the curricular offerings to students and families.

Thus, leadership of School 2's expansions built on internal strengths and targeted market opportunities that led to athletic successes and enabled the school to expand academic program offerings to reassert the faith-based, college preparatory education reflected in its long tradition in Hawai‘i. The board chair emphasized, "Now, the school is focusing on the curriculum to continue to bring in students, not bringing in more students for sports only. Because the main philosophy of the school is to get a [faith-based] education." But the head of school clarified that the expansions would have been greatly slowed had the school not enjoyed the successes of its athletic programs, stating, "With the expansion, the funds also grew. We can offer more. We can

offer robotics. We can offer the different things that we couldn't afford to do before, because we just couldn't."

Manage resistance while supporting staff through retraining and hiring. The expansions for School 2, particularly the admittance of boys, resulted in faculty resistance and departures that challenged the authority and leadership of the school head in the early years of the organizational change process. The head of school led through the opposition through a combined approach that provided instructional support, appointed new positions, and encouraged a culture of flexibility, but also, recommended that faculty leave the organization if they could not adjust to the cultural changes in the school.

The addition of boys to School 2 proved quite challenging for a number of faculty. However, once the decisions to expand were made, the head of school supported the organizational change process by ensuring the continuance of an accepting school culture, as well as providing appropriate assistance to faculty regarding instructional techniques for boys and academically diverse classes, including students with learning differences who required additional supports. The world languages department chair recalled, "It was difficult. I mean some of the teachers had never taught boys." While other faculty focused their frustrations on admissions. The vice principal stated, "There were some complaints about why we were taking *these* kinds of kids. Why we weren't being a little more selective." Department chairs shared similar remarks regarding the boy students, including, "We didn't gel," "It wasn't a good fit," and "The initial boys that came in were not exactly all our kind of students." One department chair took umbrage of the cultural change, admitting, "There was a resentment on my part, having them in my classroom because they were not the kind of students that I used to have." Despite this resistance, the head of school supported a culture of acceptance and perseverance.

The vice principal explained this openness as part of School 2's tradition and niche among independent schools, stating,

> Our culture is very open and accepting. We take students that have some minor disabilities. We are known for that, somewhat, because there are some other schools that don't accept you at all. And I think that's part of our charisma—to go where you are needed. So I think that probably helped facilitate rather than negate the expansion.

The science department chair explained that because of this accepting school culture, the school achieved student successes both athletically and academically, stating, "But, because they fit well with the athletic program, [the decision was] let's just make this work. And in some cases, it led to a great transformation."

The head of school supported the expansion processes through a variety of approaches, including professional development workshops, class size caps, technology, new hires, and promotion of a culture of flexibility. For example, in response to the rising need of instructional support of students with learning disabilities, specialists helped teachers and students with individualized educational programs (IEP). The vice principal recalled, "There was an increase of students with learning disabilities. Sometimes families come in with an official IEP. The counselors work with them and the counselors work with the teachers. We had several speakers come to the faculty meetings."

A second way the head of school supported faculty and kept true to the mission and values of the school was by limiting the number of students in each classroom. The head stated, "We hold each class, each group to 20. Sometimes we'll have 21. But as soon as it starts getting bigger, we split it into another class. As enrollment numbers increased, leadership expanded the school's technological capacities and training of teachers and students to support the

management of courses. This included students completing and submitting homework assignments electronically and teachers using software to grade them. The head explained that, due to the expansions, School 2 included "much more" technology to help facilitate instruction, stating,

> Because of the expansion, they're teaching more students. Before, the classes were half empty. Now, they're full. So the teachers like Math Xcel that does the correcting. All of that is here. They find more tech ways to make it easier and quicker.

By offering professional development workshops and sending faculty to conferences, the head of school provided a fourth way to support faculty with the school expansions. The head stated,

> We brought in professional help. We send teachers to workshops. Every year we send at least five of them to the [statewide education conference] put on by HAIS. And, we encourage them to go to workshops for their own discipline: language, math, etc., especially the ones that teach you how to handle today's adolescents. So it's been a lot of providing opportunities to grow to get the expertise they need.

The vice principal recalled one specific workshop that targeted the teaching of boys, stating, "I remember we had some training about learning styles with boys and, if you are going to stereotype, they are a little bit more active in learning."

In response to more animated behaviors in the student body and shifting of school culture due to the increase in student numbers and addition of boys, the head of school created a dean of discipline position independent of other responsibilities and endeavored to be more selective of students admitted to the school. The change to the culture was pronounced, especially in the middle and high school levels. The vice principal recalled, "It became a lot busier. There wasn't

just cutting class anymore; it was wrestling in the hallway, in the classroom. It just took some time for us to get used to them." In fact, the world languages department chair found the boys intimidating, explaining,

> The first bunch, second bunch that we got of boys, some of them were academically weak. So I found myself suddenly having a majority of boys in certain classes at certain times. And at the beginning it scared me a little bit. Because even though I had taught them before, these boys were *boys*. They were the athletes.

The behavioral changes, then, precipitated the need for the head to create the full-time position of dean of discipline. The vice principal stated, "There were more discipline issues among the first classes. So I think that's when we officially added a dean of discipline separate from assistant principal. That helped, but it also depended on the dean of discipline." The head of school recalled that "there were a few of those types of boys" who used their charisma to lead classmates into making poor decisions, so were asked to leave the school. These students caused the head to reflect on the "vetting process," but stated, "It is hard to vet personality until they are here."

Lastly, the head of school encouraged a culture of flexibility at the school to help support the expansion processes. Through a school-sponsored religious retreat, the high school students and faculty participate in a reflective period of sharing annually. The science department chair explained that through this process, he began to better understand the mission of the school and vision of its head with regard to the boys' presence and the need to "make this work." Of the expansion processes, he stated,

> I think that the athletics persuaded the implementation process along, and they probably had the support of the religion department because they're the ones who have a longer-

> term view of a student's life and their success. And part of their success is sticking it out, and being faithful.

However, the change process proved mutually challenging for a number of faculty and students. The world languages department chair explained, "We [students and teachers] both had to adapt. But, hopefully, for those who graduated, because we lost some along the way, I think we were successful with. But it took a really long time."

For those faculty who felt the expansion decisions and implementation proved overwhelming or provided just cause to challenge the head of school's authority, all left the school in short order either by their own accord, or with encouragement by the head. Through the expansion process, the head of school addressed naysayers and led through the opposition. The greatest area of disruption for School 2 lay in the high school level. The head of school stated, "Once the boys got to the high school level, we probably lost about half a dozen teachers within two to three years. They just couldn't handle it—the coed." Many of these teachers went to other all-girls religious-based schools in the state. The resistance and departure of faculty due to the expansion of boys, in particular, created several problems for the head of school. These related to hiring and direct challenges to the head's authority.

Teachers who adamantly disagreed with the school expansion decision to admit boys attempted to oust the head of school. The head explained,

> They did try to, I guess, get rid of me. It wouldn't have gotten rid of coed. That wasn't going to happen. It's only [our sponsor] that appoints me. They certainly wouldn't do that over going coed. Everybody who was responsible for the school saw it as a good thing. Saw it as adding to sustainability and viability. So these people who were rocking the boat, or who couldn't handle it, creating problems, just, one by one, left.

The head of school remained firm, confident, and resolved in the decisions and implementations of the expansions despite the resistance to change. The head confirmed,

> Well, I was the cause. I initiated it. They were correct in that. I was the one who brought the boys on the campus. And I had one say, "You destroyed a perfectly peaceful campus with all these monsters." Then I said, "You need to leave."

Nevertheless, the loss of faculty in rapid succession was challenging for the head, who faced increasing enrollment pressures and a limited budget. The head explained,

> The turnover of teachers at the beginning was a big problem. Some of them were very good teachers. And, we lost them. So, replacing them. And sometimes you have to go through a couple years until you find the right person, who you hope is going to stay for 20 years. I didn't think that the teachers would actually not want to teach boys. That was a bit of a surprise for me. So that took a little bit of adjusting. So now, it's one of my first questions.

Celebrate early successes and unanticipated positive outcomes. School 2's expansions built momentum as a result of early and unexpected successes that helped galvanize leadership's decision and build confidence in the process. Recognizing and celebrating these early accomplishments, therefore, have helped contribute to the continued success of the expansions.

Many members of the community, ranging from the board chair to faculty and alumni, recognized and celebrated the positive changes that the expansions brought to School 2, which helped build momentum. The board chair expressed surprise at the early successes, stating, "I didn't think that it was going to be that successful so fast. Really. It was amazing. Because of that history that School 2 had, and how, here in Hawai'i, where you graduate from plays a big role." Even regarding gender, the vice principal remarked that the school had enrolled equal

numbers of girls and boys by 2016. These early achievements helped catalyze the expansions for school constituents as wise and fruitful decisions. The chair explained how these early successes even reframed attitudes about the expansions, stating, "And because of the successes that were coming up because of this change, [our sponsor] and alumni embraced it. I've seen nothing but great things from that one decision." The unexpectedly rapid growth in enrollment numbers meant that the school was progressing towards its strategic goals early. The board chair stated, "I think we're going to hit our goal of 600 students way before 2020 if the school continues at its pace."

The faculty also recognized and celebrated the early results of the expansions and what they meant for instruction and school programs as a whole. For the science department chair, the addition of boys improved the quality of student work due to increased competition. The chair explained,

> When the first set of boys were there, I was happy because I could see how the boys and girls would compete with one another. The girls, who had been just working by themselves, now wanted to impress the boys. They wanted to prove something.

Along with increased competition and quality improvements in student work, the expansions promoted enriched academic programs with increased faculty numbers and broader course offerings. One example concerns the creation and alignment of world languages courses for grades K through 12. The department chair explained how the administration requested that this endeavor be completed as student enrollment increased, stating, "I had to later on coordinate the curriculum K-12 for languages. We didn't have a program K-12 for languages." For the science department, the chair commented, "The science offerings have been enhanced just because stability of enrollment has meant that we ought to have curriculum that is challenging and fresh

for people who are going to be here for their *whole* high school career." Equally so, the world languages chair stated that positive enhancements to the curricular programs continue to manifest themselves, specifying, "We may have AP Spanish coming back, and adding AP Japanese and Chinese. This kind of thing is really affecting changes very quickly." With enrollment numbers and course offerings continuing to rise, the math department chair noted that the expansion process had not yet finished, commenting, "We're expecting an expansion in the number of faculty."

As an indirect result of the expansions, the dean of discipline alleviated some of the faculty responsibilities that they found onerous. The world languages department chair explained, "The homeroom teacher used to enter the grades for students in terms of discipline. So he is the one taking care of that [now]. It's less of a splinter in our sides." The creation of full-time dean of discipline position not only helped boost morale, but also helped contribute to improvements in program and instruction. The world languages department chair explained how the removal of disciplinary responsibilities helped course instruction, stating,

> We only teach. We're very happy with this. Because I can use all the time I used to spend taking care of these matters to really prepare my classes and do what I'm supposed to do, which is teach my subject.

Some faculty celebrated the addition of boys as an improvement to the school culture and community. The science department chair explained, "Overall, I'd say it's been very positive. I think the behavior has actually improved."

Impacts of School 2's culture and organizational climate in leading organizational change. The culture and organizational climate of School 2 both informed and was informed by leadership's direction of the expansion processes that consequentially changed the organization.

School culture and leading change. Members of the School 2 community shared the responsibility of leading the dual expansions, though the head of school led the efforts of reshaping the culture, and the faculty and students supported the change process, particularly with regard to reinterpreting and creating new traditions, symbols, and ceremonies. Nevertheless, the expansion resulted in some unanticipated loss of intimacy and camaraderie among faculty.

Though the head of school acknowledged that "boys changed everything," including traditions "that went out the window," there was clear direction by the head to maintain a history of strong academics in a joyful environment of learning. Through this clarity of purpose, the head of school set the tone and led the reshaping of school culture. Due to the school's rapid and sizable growth in the student population, the head took action to mold the culture in an attempt to maintain the previously small-school feel where every student was known by name. The head informed,

> We keep the classes at 20. I have enough teachers so the number of students per teacher is at about 100 to 110. If we had not kept to that, if we had gone to 30 students per classroom, then I think we would've lost that personal touch. My teachers all know their students by their first name. And we have not lost that quality. We have kept up with the faculty and staff, so our ratio is actually, when you add in the counselors and specialists, 12:1. It's costly, though. But it's important. It's important that when a teacher walks down, Jim, or whatever, Suzie, they know them by name.

In addition to maintaining smaller class sizes, the head was intentional in starting new programs to incentivize high academic achievement. The head explained,

> We brought in the Honors Graduate Program, so that if you have three APs, a 3.5 GPA, and a clean discipline record, you're designated as an Honors Graduate here. It goes onto

> their diplomas with a sticker as an Honors Graduate and it's on their transcripts. So there were different programs like that we brought in to keep the high quality.

The head of school also created a new faculty position in charge of an expanded student organization, demonstrating the value of creating and shaping a healthy school culture. The head stated,

> So now, we have a full-time person who does all of the activities and assemblies, and all of that, so that we have set assemblies that try to get across who we are, what we are, why we do the things we do. We have liturgies, religious assemblies, and different things of that nature.

Regarding faculty, the head of school implemented a financial rewards-based system to incentivize behaviors deemed conducive to producing a small-school feel and quality service to its families. The science department chair argued,

> Merit pay. I actually think that it is an attempt to shape or reshape culture, in addition to rewarding teachers. Before, the culture was just like an 'ohana. It was a family. You, as part of a supportive family, you went and chaperoned, you went and supported sports. That's just what you did. But now, because it's a little bigger, and hard to say who goes and what not, [the administration] wants to reward people that do such things like go to sporting events, go chaperone, go do the things that we just did as a family.

Certain policies at School 2 did not change, which maintained an open and friendly culture to female students who were pregnant. The head stated,

> The fact that we don't expel pregnant girls. That still stands. Except that if the father of the child is here, he's going to have to be disciplined now, also. I think we're the only high school [of our religious faith] with that policy.

In addition to the guidance by the head of school, the leadership of administration, faculty, and students helped support and shape attitudes and perceptions regarding acceptance of School 2's expansions. They also played active roles in the changes related to the school's programs, symbols, ceremonies, and traditions that reshaped the culture in the expansion process.

Less apparent to outside observers was a shift in the leadership culture inside School 2 during the expansion process. The science department chair, who has been working at School 2 for over 15 years, explained,

> When I first went to a teaching position it was a small school and every decision was hashed out in the faculty meetings. Now, you're just slotted in and you do your thing. But, when something new came up, like having boys, having elementary, it was some new territory and the administration really was seeking more input. So, for the expansion process, it meant that we went from just being cogs in the machine to being, "Where should this cog interface with? How should it all be working together?" So I think our decisions and input and leadership were asked, called upon, more as the school has embarked in the process.

This cultural shift in school leadership to a more participatory style was reflected in the comments by the head of school, who emphasized the importance of the informal leadership roles of faculty in shaping the attitudes toward the expansions. The head explained,

> I know the faculty you met with probably had something to do with the easy acceptance of boys. Although I think [one of them] may have had a little hesitancy. But she's come around. We did have some turnover on the staff. That's why we only have those three from the time of the change.

Veteran faculty have also demonstrated their informal leadership in thought and action to address a key threat to School 2's culture and tradition caused by the gradual decline in its resident members of the religious organization. This development reflects a general trend nationwide at religious-based schools similar to School 2 as a result of retirements and less interest by women to become servants of God. To some extent, veteran faculty have taken on more pronounced roles of informal bearers of School 2's culture to ensure that the history and traditions are preserved. The world languages department chair expressed the concerns of faculty that have prompted action, stating, "The big question is what is going to happen after the [members of the religious organization] are gone? It is the big unknown. Because for all these years they have been the center of the school." The head of school and other members of the religious organization have long maintained the legacy of renowned leaders associated with School 2, as well as actively participated in the school through their roles as administrators, teachers, ministers, counselors, and coaches. Consequently, there is apprehension regarding the future change in the head of school and organizational culture to an all-lay community because the school has always been led by an official member of the religious community. The chair reflected philosophically, continuing,

> A lot of teachers are sad because of that, but we know that it is going to happen. Their home is a building in the middle of the school and we don't know what the building is going to be used for. I'm not even talking about spatially. It's just that the [members of the religious organization] are leaving. That's a big thing for the culture of this school. The symbols, mostly the symbols of the school, are leaving, and what they represent.

In response to this impending change to the history and culture of the school, the math department chair explained how veteran faculty have begun to approach countering the

inevitable transformation, stating, "We are trying to instill in students the spirit of [our namesake]. We have to stick to that."

The expansions at School 2 were also supported by the administration through their collective efforts at reshaping the culture of the organization. These steps proved to be critical to the expansion process. The board chair reflected,

> I think that because we made the cultural change, all of these opportunities came up. We were able to expand the programs of the school. I don't think that we would've been able to do it if we hadn't changed that culture. It was a shock, I have to say, for the school to make this change.

The administration helped shape positive female student perceptions to support a welcoming culture, particularly with regard to the acceptance of boys during the early years of the expansion process. The vice principal explained, "I remember, in the beginning, some of the girls felt that the boys got special treatment or favoritism. To me the reality was no, not really. They just think it's that way." Thus, the administration's efforts to project a positive culture of acceptance helped provide for a smooth expansion process, particularly for the boys. The decision by the administration to admit boys gradually also provided time for the necessary cultural changes to occur more organically. The board chair implied that although there was some initial student labeling that the boys were attending a "girls' school," it was limited as a result of thoughtful implementation of the expansion, stating, "Because School 2 started small, with the younger kids, it helped make that transition a lot easier; where they could embrace it when boy students went to the middle school and then the high school."

The addition of boys to campus had a definite and significant impact on School 2's culture. The head of school remarked, "The aura of the school, if you will, completely changed.

It's a lot noisier. It's a lot more athletic. Boys have energy that they never run out of." This cultural change was shaped and supported by administrators who saw athletics as a critical path to sustainability of the school. The science department chair explained,

> I think athletics had a big role in this. They swayed leadership saying, "You know, School 2 isn't well known in the community. You get well known in the community through athletics. And the biggest athletic [sport] is football. Therefore, girls can't play football and field the team, but, if we let boys, [we can]."

Related to the increased athleticism that boys brought to the culture of the school, the students played important roles in changes made to School 2's colors and symbols. The head of school related how once the boys entered high school and began playing league sports, they rejected the traditional color of the school on account of it being feminine from their perspective. Although the boys won the initial argument to change the principal color of the athletic uniforms to a darker shade, the head of school shared that the color change had led to some confusion with the color of another local independent school, and that the original school color had symbolic meaning related to the garment of a religious figure important to the school. As a result, the head expressed a desire to return to the original color, stating, "So we're going to have to start working on that and maybe go back to that tradition that the school colors are [what they were]."

Boys also were the force behind the change of the school mascot and logo at athletic events from a previously less masculine figure to that of a religious warrior today. Again, with these changes, some initial confusion and conflict resulted in the Hawai‘i community with yet another local independent school who sometimes used the same mascot and logo. After a few years, these differences were resolved so that School 2 uses one mascot and logo for athletic events, and its traditional mascot and logo for the yearbook and other publications. However, the

head of school explained that the boys shaped the changing of the school symbols even with regard to official documents, stating, “Our symbol before was the entire crest, which is the crest of the school. But now we have an athletic symbol.”

Within the school, students demonstrated leadership in informing the culture, ceremonies, and traditions throughout the expansions. The vice principal expressed that in general, School 2 students maintained an open and accepting culture, stating, “Our kids are really good at being accepting of people as they are. I know because some students have transferred from other schools. That is one of the things they really like because it feels more like a family.” The students were also important to the preservation and, where appropriate, modification of traditions and ceremonies unique to School 2. The vice principal stated that this resulted “because we have tried hard to keep what was really important to the students.” For example, students supported the tradition of a single-gender annual religious retreat for the high school grades. They also decided to preserve a leadership ceremony where seniors and juniors exchange gifts symbolizing the passing of the light of leadership at the end of the school year. In addition, seniors and juniors saw value in carrying on the traditional ring ceremony whereby leadership is symbolically transferred between classes. Another tradition that students deemed as strengthening School 2’s culture, and thus continued, involved the adoption of freshmen students by senior students. This custom changed in name from “Big Sis, Little Sis” to “Big Sibling, Little Sibling.” So in terms of culture, the vice principal seemed to acknowledge one faculty member’s comment that “a lot of things have changed,” but that “What has changed is maybe just the name.”

The expansion of School 2 led to an unexpected loss of intimacy and camaraderie by veteran faculty members primarily as an indirect consequences of faculty departures, a decrease

of free time, and increase of school size. The world languages department chair explained, “For some teachers, it was a shock. Because the culture was a girl culture, with all that it is. I’m willing to take the challenge, but some faculty didn’t. We were faced with a choice.” Consequently, the departure of a sizable number of faculty over the course of the expansions, meant the disconnection of friendships and other meaningful relationships.

One veteran faculty felt that the loss of camaraderie was a “less obvious consequence of expansion,” and others concurred. The math department chair spoke with nostalgia stating that “the small ‘ohana that we used to have before” has since gone away. Other faculty members commented how there used to be more time to socialize at school meetings and conferences or at lunch with colleagues. For example, the faculty used to have a “Sunshine Club” where colleagues would have coffee together before school. However, that has disappeared due to increased faculty commitments and responsibilities. The world languages department chair stated, “We used to have more time, even to the point where administrators would be able to sit down with us for lunch. Now, it’s almost rarely. I think we lost a lot of face-to-face interaction because of the expansion.”

Connected to the loss of camaraderie and intimacy, faculty members expressed a feeling of diseconomies of scale as a result of the expansions, whereby there has been some breakdown in the communication and coordination among organizational members. “Something happens there, or something happens here, and I don’t know about it because of the expansion,” stated the world languages department chair, who continued, “In terms of getting to know the new faculty members, I know them less than I used to before. And in the middle school or elementary school, I don’t know a lot of those teachers.” At the heart of the matter lay the changes to the school culture characterized by the declines in the quality of the relationships and quality of the

workplace as concomitant changes occurred in school size and socialization time as a result of expansion. The chair explained, “The data communication in the work is pretty good, but the little things that make the ‘plus’ in the daily life—the socialization and mentorship and all of that—I have nostalgia for the past with that.” The chair pointed out, however, that while the quality of the service provided to the student families has improved as a result of the expansions, the quality of life for teachers has not, stating, “It’s not like affecting our work, but it’s affecting our relationships as faculty.”

The expansions also impacted the camaraderie between School 2 and all-male independent schools that partnered with it on cultural celebrations related to statehood. Following the expansions, the school no longer needed male students from other schools to participate in the ceremonial celebrations. As a result, relationships were severed among the schools, but also, interschool highlights enjoyed by School 2 students. The world languages department chair explained, “That was the big hit for the girls. They’d get their friends there. But now, that stopped. Now we have our own boys.” Similarly, faculty expressed regret over the modification in 2016 of a “very moving” father-daughter dance whose tradition was altered to accommodate boys. Faculty described the change to replace the fathers with boy students as “big” and “very sad” that impacted the culture of the school.

Organizational climate and leading change. The external organizational climate that School 2 operated in both challenged and assisted leadership to successfully execute the two expansions. Responses by constituents and community members as well as developments in the Hawai‘i public school system impacted leadership’s approach to the change processes.

While the parents and community members were generally supportive of School 2’s expansions, the alumni were resistant and required a process extending over several years by

leadership to convince them that the changes were not only necessary, but good. Because the expansions were purposefully planned to occur gradually, one grade level at a time, existing parents who preferred single-gender education for their daughters would not have been affected. The head of school recalled, "Most of the parents were not a problem. Current parents said, "This is never going to affect us." So I didn't have too much rebuttal from them. The parents who were applying were very happy."

For the alumni, however, leadership's decisions to expand, especially as coeducational, generated perceived threats to the traditions, culture, and history of their alma mater. The alumni's resistance to the expansions, then, posed as one of the most significant challenges in the operational environment for leadership to manage. This resistance was felt by all leaders within the school, from the board members to faculty. The board chair stated, "The major issue was how the alumni were going to accept adding boys to the school," and the head of school remembered, "The alumni were the biggest problem with the expansion." Even today, residual resistance remains. One faculty member commented, "When I talk with the alumni, even now, our younger teachers are still part of those all-girls promotions. And you hear [Jane Doe], for example, she misses an all-girls school. I can see it because they hang around [and talk]."

Leadership took various approaches aimed at overcoming the alumni resistance to the expansions that included direct conversations, inclusion in the process, and taking a gradual approach to the process. The board chair explained, "Because we took it one step at a time, because we got them involved in it, because we had board members who were alumni and who were embracing this cultural change, that helped." For those alumni who were especially adamant that the school not become coeducational, the head of school stated, "The ones who were very staunch, we had a number of meetings with." Though it took a coordinated process

that required leadership's time and energy, eventually, the majority of alumni did come around to supporting the expansions. The head of school stated,

> I would say three to four years for the alumni to really come to grips with the idea that this was a good thing. Especially when the enrollment started increasing and they could see. And the boys who first came in were very young, so easy to handle, easy to teach, easy to work with.

Today, pockets of disagreement remain with the decision to become coeducational, which is reflective of the school's long history and the traditions, symbols, and ceremonies perpetuated over the years. For example, the head of school shared that alumni were pleased that beyond athletics, the school's more traditional logo and mascot remain.

Within the context of the organizational climate, leadership's ability to forge community partnerships played an important role in contributing to the successes of School 2's expansions. These negotiated relationships helped lead to the development of the school's own high school football program, rerouting of community traffic, and use of a public field for athletics. The board chair explained that school leadership seized upon opportunities that arose in the community, particularly with regard to the development of a football program, stating,

> Doing football at School 2 was the last thing on anybody's mind! There was a football program outside of schools that was being phased out and it opened up the door for all those kids to now find a school to go in and play football.

Soon after hearing news of the football program's end, the head of school and chair of the board took direct action. The board chair recalled,

> So the head of school asked me to go to the gym one Saturday. And half, maybe ¾ of the boys that were there were tall, husky, 250 lb, middle schoolers. We've got a football

> program! And that's basically how we ended up getting started in that and that brought in a good number of students in the middle school, who would be moving right into high school.

This program, and enrollment in general for School 2, also benefited from the dramatic changes mentioned earlier that were occurring in the organizational climate of independent schools due to the economic downturn following the financial crisis of 2008. The board chair stated, "Opportunities have come up—schools closing, nowhere for these students to go to. So we started bringing in more boys in the different levels, and it just worked out."

Other factors related to the operational climate that impacted School 2's decision to start its own football program rather than have its boys join a coalition team composed of other independent schools relate to costs and leadership's ability to negotiate use of fields at a public park. The vice principal explained, "Because of the amount of money that we had to pay [the league] per student, we were better off creating our own team. And it was decided that our program could be run better." The fact that School 2 does not have a full-sized football field on campus on which to practice did not deter the head of school. The head explained, "We don't have one, and we probably won't have one. But we're not the only private school without one." By building a relationship with the manager of a local community park, the head of school was able to negotiate the school's use of it in the afternoons and on the weekends. The head explained,

> We have as much right to use the park as anyone else. A woman who is in charge of it, her son was here. So it made it real easy. He graduated last year, but we still have a good relationship with her. So we have our set times and our area when it comes time for practice.

Once enrollment began to increase, especially by the time the boys entered the high school, leadership needed to manage the increased congestion in the local community and traffic flows on campus. This unanticipated outcome of expansion began to negatively impact the school's relationships within the community and create problems for students arriving to and departing from campus. The head of school stated, "So that was something that was unforeseen—that the expansion would bring in so many more cars." This was exacerbated by the before school and after school childcare and the number of junior and senior students who drove vehicles. The head of school recalled,

> This came out of the blue. One of the implications was that we had to negotiate with [a university]. So now, we have a back gate. Prior to that, all students had to come down [a single road], and we're on a dead end. And, as the school began to grow, the traffic coming down that was something we really had not anticipated.

In negotiating with the local university, School 2 capitalized on the growing negative sentiment among the local community residents regarding the congestion. The head of school explained,

> And at the same time, we took advantage of the fact that [the local residents] were very upset with [the university] because people were parking, blocking their driveways. We said, "Look, we can help. You can publicize that you're cooperating with us to cut down traffic so they don't have to come by [a third school], all the way [down the road]. We'll have a back gate. We'll open it in the morning. They can drive through, drop off their children and go back out. And in the afternoon, they can do the same thing." It took us two years, negotiating with them because of liability issues.

To help facilitate the agreement between the university and School 2, the head of school hired a full-time guard to monitor traffic and maintain the opening and locking of the back gate.

Changes in the operational environment related to the decisions by many of Hawai‘i public junior high schools to adopt the middle school model had a direct and significant impact on the evolution of School 2's expansions. In the community in which School 2 operates, the public junior high school converted to the middle school model in 1988 resulting in School 2's addition of grade 6 in 1989. Later, in 2007 and 2013, two nearby elementary schools changed to grades K through 5, which generated increased interest in and support for the expansions. The vice principal explained,

> The original plan was that we would gradually add grade levels, but then it also happened that the public elementary schools were stopping at 5th grade. So that meant that they had to go to [the public middle school], and the parents didn't want to send their kids [there].

Whether the changes in the operational climate were macro or micro in size, the implications for independent schools were consequential, especially for those institutions leading up to and executing organizational expansions.

School 3

For over 50 years, School 3 has been serving the educational needs of Hawai‘i's children as a faith-based, independent school. A local religious authority founded School 3 by arranging for an affiliated religious organization experienced with managing schools to administer the institution. Today, this organization is separate from the local religious authority and operates a network of schools across North and South America from its head offices located on the U.S. Mainland. Since its establishment, School 3 has operated within the governing structure of this international, religious consortium of schools. Though School 3 is officially a member of this school network, it operates with great local autonomy. There are 11 members on School 3's board of directors, including the head of school, who serves the institution as the president and

chief executive officer. The president is a parent of a graduate and has served as School 3's top leader for eight years. Prior to that, the school head had served as a board member for 10 years, four of which were as its chair. Board members represent a broad range of industries and local talent. Members of the school network have served on the school's board of directors and filled administrative and instructional positions at the school. Until 2007, only members of the religious consortium had served as the president of the school. Since then, the school has had no more members of the school network serving as the president, and the only individuals who have filled this position thereafter have been laypersons with backgrounds in business and law. An administrative council of 10 assists the president. About half of the administrative team members were employees of the school prior to the expansions of 2011 and 2012. The principal was the only remaining member of the religious consortium serving in administration in 2016.

Factors that prompted School 3 to expand. Between 2004 and 2012, School 3 leadership decided to expand grade levels twice and become coeducational as a result of unsustainable finances, competition, and demographic trends.

Non-sustainable finances. In the 1980s, School 3 began to experience a decline in enrollment to its all-male high school that negatively impacted the financial health of the school. Without a sizable endowment or external sources of revenue generation, School 3 had relied primarily on tuition revenue to fund the operations of the school. The weak economy following the financial crisis in 2008 was yet another factor that served a blow to the key source of monies funding the school and prompted leadership's decisions to expand.

School 3's decisions to expand were primarily driven by the weak financial position of the institution. The state of the school's finances was suggested by the president, who stated, "We will always not attempt to be the most heavily financed school," and more directly revealed

by the vice principal, who stated, “We were already operating in the red” at the time of expansions. Declining revenues have been a long-term concern for leadership and are evident in statements made by them and faculty as well as expressed in School 3’s revised strategic plan of 2014-2018. Among faculty and staff, the rationale repeatedly offered to explain the school’s decisions to expand was articulated by the vice principal, who stated, “The overriding factor was finances. It was the life of the school.” While the decisions to expand to 7th and 8th grades in 2004 and 6th grade in 2011 helped sustain the school with some additional revenues, the decision to add girls to campus in 2012 was the most important to the improvement of the school’s bottom line. The vice principal explained, “Without the girls, the school would probably have not existed.”

Prior to and during the expansions, the school’s weak finances resulted in the president taking cost-cutting measures that impacted human resources. The music director stated, “When I came onboard 10 years ago, if I’m not mistaken, over 50% of the faculty was new at that point.” Other faculty members explained how the school was downsizing faculty positions and turnover was high, with faculty remaining at the school for a year or two before leaving. The college counselor explained, “We were losing some positions as a result of our lack of tuition revenue, and in very key, core areas, such as mathematics and science.” In addition to personnel reductions and new hires, the president took other steps related to pay and retirement benefits to reduce costs and keep the school viable. The college counselor recalled, “Our pay was frozen for at least two to three years.”

The continued constraints on school leadership caused by weaker tuition revenues over the long term are evidenced in School 3’s strategic plan. The board of directors identified “sustainable growth and long-term financial viability” as one of the school’s top three strategic

goals. In order to do so, the school articulated several objectives related to reducing long-term debt, building reserves, and updating its current business model, indicating a continued need to expand to alternative streams of revenue generation instead of its historical dependence on tuition. The school president stated, "We cannot continue subsidizing the cost from operating revenue because we won't have any reserves, and so we need to build outside opportunities for growth." Thus, the school's decision to expand was primarily driven by weak finances and an effort to continue to be viable. The strategic committee chair of the board of directors (strategic committee chair) stated that this decision was "to be able to create more sustainability for the school and the educational program over time."

The school's business model was such that the declining enrollment trend over the long term was a leading cause of the school's tenuous financial position and reason for the president and board's decisions to implement several expansions. For faculty, the declining enrollment presented deep concerns. The world languages department chair explained that enrollment "kept trending lower and lower" and that "when you think of that last boys class being under 70 students, where the capacity that we can handle is about 130 to 150, it's getting scary." The vice principal underscored this point, commenting, "We were to a point where another year or two of declining enrollment and we shut down. Simple as that."

Though the school enjoyed the financial security provided by enrollment numbers that neared its capacity of 750 to 800 students in the 1970s and 1980s, parents and students found less and less value in School 3's educational program with the larger class sizes that resulted in enrollment numbers reaching far below that size in the 1990s and beyond. Before the decisions to expand the numbers had fallen dramatically from the mid-500s to 355. The president expressed surprise at the challenge to raise interest in the school among families, stating,

> The other thing that I didn't anticipate was that the enrollment would be a real struggle. There are schools that are charging much more than us, but the perceived, or maybe the actual, value seems to support the enrollment that they're having.

The pressures created by historically low enrollment numbers spurred the president and board of directors to take action by expanding by grade levels and gender between 2004 and 2012. One of whose announcements was timed on the 50th anniversary of the school's founding. The president explained,

> And so in 2012 we made the announcement on our 50th anniversary to accept girls on campus. And it worked out very timely because the story line was that after 50 years of success with all boys, we thought we could be as successful with girls.

The weak economy subsequent to the Great Recession of 2008 marked the tipping point for leadership to seriously consider additional measures to increase enrollment and thus improve revenues for the school. The president explained,

> We decided to expand because we were in a time where we experienced some financial difficulties due to the recession. And we had tried all kinds of things: the necessary budget cuts, downsizing, tried everything possible. So we finally decided that we needed to explore going coeducational.

While corroborating the president and board's actions, the administrative team emphasized the impact of the weak economy and need for a long-term solution to the overarching challenge to sustainably operate the school. The vice principal stated,

> We had already expanded to middle school initially, the 7th and 8th grades, and then to the 6th grade level. And that had helped to stabilize things short-term. But with the recession,

the financial situation got precarious. And so, we definitely had to look at something else that would be more long-term effective.

The timing of the protracted economic recession played a critical factor in School 3's decision to expand, as options were limited, but clear. The admissions director stated, "Obviously, one big factor, one big choice, would be to open up to the other half of the market—to go coed."

Competition and demographic trends. The market for highly qualified student applicants to fill grades K through 12 among independent schools in Hawai'i had become more challenging prior to School 3's expansions, and this was especially true of School 3 applicants in grades 7 through 12 due to increased competition and changing demographic trends.

Several interconnected factors challenged the ability of School 3's leadership to compete with other independent schools for quality student applicants as well as competent faculty, which helped convince them of the need to expand. These challenging factors primarily related to the school's capacity to offer superior curricular and athletic programs, scholarships and tuition discounts, more than adequate campus facilities, as well as competitive salaries and benefits.

Other independent schools in Hawai'i had recently expanded or were considering expanding, which prompted leadership to seriously consider the option. The president reflected that a nearby high school had similarly attempted expanding by adding divisions, but struggled, and how, in 2016, it had announced another attempt by accepting applicants for grades K through 12. Likewise, the admissions director explained that when a key competitor expanded to become coeducational, it hurt School 3, and posed yet another challenge for the school to consider further expansion. The director stated that it was difficult "just to have them as a competitor, another competitor, in an already saturated market of private schools." However, the

director believed that School 3 had a competitive advantage over the school that helped in the decision to expand, stating,

> I think we had an edge. I think girls have an easier time adjusting going to an all-boys school than boys trying to go to a previously all-girls school. I think [our competitor] had to work harder to get boys. They had to really ramp up their sports program. We had things in place already.

Again, the competitive landscape among independent schools of Hawai‘i led the president to consider expansion in a broader context of strengthening strategies to attract students and faculty to provide a superior educational and workplace environment. As tuition at independent schools has risen faster than the rate of inflation, tuition assistance is one such area that the school had made a focus, which helped with its decision to expand. The president explained,

> I look at now a different competitive environment. There are only so many children available in the state and so the key to me is it forces us to be competitive but from the standpoint of having to get more endowments and more scholarship money.

The president further explained that as part of the decision making process to expand, it was critical that the school made matriculation financially possible for families, stating, “We had to find a financing mechanism that we could support them in terms of academic scholarships or tuition assistance of some sort,” because “that’s the only way we can continue to survive.”

While simultaneously addressing the challenge of matriculation in an increasingly competitive market, the president was also managing issues related to human resources, curricular programs, and campus facilities that would help make the school more attractive to teachers and families. One particularly difficult challenge that related to human resources

involved retention and remuneration of faculty and staff. As Hawai‘i has one of the nation’s highest costs of living combined with comparably lower wages, leadership found it difficult to attract and retain highly qualified teachers. The president explained, “We also have to pay particular attention to paying a fair wage and balancing our budget. We cannot continue to have great teachers unless we can help them to afford the cost of living in Hawai‘i.” The president also stated that in order to attract students and families, School 3 needed to continually be competitive with other independent schools in the market by having “facilities that are a bit more than adequate for learning in the 21st century, and being able to finance the technology that we need to continue to have work in progress.” The decision making process to expand, then, included a multi-pronged strategy to be competitive in attracting students so as “to give an educational opportunity to as many students as it possibly can,” explained the strategic committee chair.

The demographic trends and developments in the educational landscape for independent schools in Hawai‘i related to the decline and closure of faith-based, single-gender schools, the growth of public charter schools, and School 3’s strategic location played particularly important roles in the president and board of directors’ decisions to expand.

Commenting on the trend among single-gender independent schools of valuing single-gender schools less, the strategic committee chair remarked, “I think when you look at schools, especially when you look at all-boys or all-girls schools, they’re becoming fewer and fewer. And if anybody is paying attention, even across the country, this is the case.” Locally, this trend, was apparent and had a significant impact on School 3’s decision to expand. Despite the school’s half-century tradition as an all-male educational institution, faculty and administrators both

recognized the changing values among families for a mixed gender education over a single-gender one. The college counselor stated,

> In today's environment, some of the students would come in and tell me, "You know, mister, I don't wanna apply to a college that's single sex." So they were looking, and leaving here, going into a coed world. And that appears to be the standard.

Administrators, alike, had perceived the added value if School 3 were to become coeducational and help the school to survive. The dean of students for men and long-time veteran of School 3 stated that coeducation "brings together a more realistic preparation" that better meets "the complexity of the whole American society" and provides students with "lifelong lessons that they can take with them as they enter the next phase of their lives." The school president also acknowledged this development among independent schools, which helped convince School 3 to expand to coed, stating, "I look at the success of every school that has gone coed among the private schools. Not one of them had a failure. So that was a thing to do." Thus, the trend among independent schools of transforming themselves into coeducational organizations for survival purposes was a key factor that contributed to School 3's decision to expand. The admissions director summed up well the school's acknowledgement of this trend's impact on leadership's decision to expand, stating, "It's a coed world and you need to be able to work with women wherever you are, socially, and in the work force." The trend for independent schools to become coeducational also coincided with national and local declines in religious-based elementary and junior high school enrollment.

Over the past decade, a number of faith-based junior high schools have been shuttering their doors, thus complicating the traditional paths of student applications for School 3. Not coincidentally, the admissions director of School 3 stated that over the period of leadership's

decision making, the school's enrollment declined following the closure of five religious-based schools nearby, thus sparking increased interest in expanding to lower grades. The school president singled out the junior high schools of its religious orientation as being a significant problem, stating, "The decline of [our religious] feeder schools' enrollment into our high school exacerbated the problem. So we needed to find ways to look for new prospects, including the public schools." But at the same time, the growth of public charter schools in Hawai'i also complicated the enrollment issue. The president noted the trends that contributed to School 3's decision to expand, stating,

> As I look and see the impact of charter schools, I look at the declining feeder schools [of our religious faith], I knew that we had to do our bit to be very aggressive in marketing [a faith-based] education and superior learning.

Additionally, the decline to just one religious member of the consortium that serves as a faculty or administrator has meant increased expenses to pay for lay employees to fill these positions.

One of the most significant factors that helped School 3 in its decisions to expand relates to the strategic benefit resulting from the school's geographic location amidst the changing economic and demographic landscapes for families interested in independent school education. While School 3 was established in a poorer neighborhood for reasons related to its social justice mission of helping the poor, its location has both limited options for the school financially, but also helped in its decisions to expand. The school president explained, "We're in [this location] for a purpose. We want to continue to serve the marginalized. So that means that we have to keep tuition affordable." Leadership saw that given the trends among similar, faith-based, single-gendered schools, one way to keep tuition affordable was to increase enrollment. Its location

helped provide the motivation to take action. The admissions director stated that "location had a huge impact" on the decision, explaining,

> We're the closest school [of our faith on] the west side. And then, geographically speaking, there are 15 feeder schools [of our faith]. Ten of them are either in [our neighborhood] or [on the] west side, and then three are on the windward side. So we're geographically the closest to 13 of the 15 schools.

The dean of students for men instructed that the already significant and projected growth of towns west of the School 3 meant that its geographic location would provide a convenience value to families commuting to work, which supported decisions for leadership to expand. The dean explained,

> That was one of the main attractions, where the west side is developing very rapidly and we're actually the closest high school. So, you got the growth [in two neighborhoods] and, I think, [a third] is also expanding. And so, the first private high school is us.

For families who had boys at School 3 and sisters in private middle or high schools, School 3's decision to become coeducational would mean that parents could make a single drop-off and pick-up on their daily commute, adding convenience and saving time on some of the most congested streets in the nation. The admissions director explained that "parents were ecstatic" at the possibility of School 3's expansion to coeducation because they could now leave later than 5 a.m. to drop off their children due to heavy traffic.

Processes that facilitated School 3's expansion. The processes that facilitated School 3's expansions were characterized by a business-oriented leadership focus rooted in the school's strong mission and identity, reflective of market opportunities, and supportive of staff. Relatively

free of any strong resistance and realizing early positive outcomes, School 3 celebrated these developments that helped build momentum for the expansions.

Prioritize a business-oriented disposition to declining enrollment. The trends of declining enrollment and poor finances spurred School 3 to prioritize a business-oriented disposition focused on a need for urgent action that called for authoritative decision making. They also required the school to unify, seek community partnerships aligned with its mission and goals, and take a deliberate, but flexible approach with the processes so as to manage unanticipated outcomes.

At School 3, there was a strong sense that in the absence of immediate action that would improve the enrollment and financial conditions, the organization would face dire consequences. The president explained, "One of the [consortium members] said it was either 'coed or no-ed.'" Continuing, the president stated, "We didn't have a whole lot of time. We came to a fairly rapid decision in the course of a few months that we would lay out the plan to do this." The vice principal explained that this sense of urgency at the very top of the organization was known among administrators, stating, "On the board level, there was definitely a sense of urgency; a feeling of 'We have to do something to turn this around, or we're just gonna have to shut down.'" Faculty who were outside the decision making processes understood the immediate need for organizational change because the message was clear and simple. The music director recalled this message as "'If you want to keep your job, this is the way it has to flow.'"

The school's decisions to expand, particularly the addition of girls, were characterized as authoritative and united among the board and president. The decision making did not include faculty or administrative input as it was conducted at the highest levels of leadership, namely, by

the president, board of directors, and consortium, under which School 3 operated. The president recounted,

> As the president and CEO, I introduced the idea first to the [consortium's leaders] on the Mainland. There are three members of the corporation who have reserve powers. Ultimately, they have to make those kinds of decisions. Then I proceeded to mention [expansions] to the board of directors, who felt the need, as I did, to support the financial growth of the school.

The president justified a more authoritative decision making approach stating, "Since I drove the decision, I was willing to take that risk upon myself to do that. I have always believed that, for certain kinds of decisions, I would rather have people comment [than participate in decision making]. Co-education was one of those." The president stated, also, that neither was input sought from school constituents to inform the decision, reporting, "It wasn't a poll that we took with parents. We didn't poll the alumni. We described what we were going to do and why, but we didn't ask them what they thought about it." Though the faculty and administration described the decision making process as "top-down," and expressed some frustration at the way in which the decision was made known to them, they were understanding of the decision making process. The music director argued, "It could not have been done as a very open, democratic process, because you'd never arrive at a good decision."

Though the decision making was top-down, the faculty and administration supported the president's approach to decision making because those who remained due to staff attrition wished to keep the institution viable and continue employment. As a result, relationships among the board and president, as well as among faculty and administration were healthy and strong. Among the board, the strategic committee chair described decision making by the group as "very

collaborative." Moreover, the chair emphasized the board's commitment to achieving as high a consensus as possible in its decision making without the need for unanimity, stating,

> The spirit of the board is such that, if that higher level of consensus is there, people are supportive, and they jump on the bandwagon and make sure that it's going to work, rather than speak against it in the community.

Between the board and the president of the school, the relationship was grounded in a longer history of mutual respect, trust, and confidence, which projected strong unity in the decision making within the school community. The strategic committee chair described the role of the relationships in the decision making, stating,

> The administration and the board work very closely together. There's mutual trust. There's mutual respect and recognition of skills and abilities of all of those that are involved. And, consequently, I think that makes a huge difference when it comes to making a decision to expand, and in our case, go co-educational.

The genuine respect between the board and president did not mean, however, that the board was not already considering options to keep the school viably operating, nor did it give free reign to the president in the decision making process. For example, the board committee chair explained, "It wasn't a new idea. It was not a surprise. There was a lot of thinking in that direction."

The board capitalized on its broad mix of perspectives and capacities provided by its membership of community members and alumni to help unite the school community, specifically through the process of vetting ideas in order to arrive at the decisions to expand. The board committee chair explained, "The board was instrumental in ensuring that the process was a good process, and second of all, that all the various risk factors were considered before any final determinations were made." The board's analysis provided by its serving as a trusted "extra set

of ears" for the school president helped to guide the process. The board committee chair recalled, "It was a very big decision and obviously, there are always a lot of positives to big decisions, but there are also a lot of factors that need to be considered, as well." These risk factors included faculty reactions to the decision making process within the school. The chair acknowledged,

> We can have a great administrative team, a senior management team, we can have great program directors. But if the folks that are delivering the services on a day-to-day basis are resisting the change and not feeling confident in the culture, that's gonna play out. It will appear in terms of the quality of the product or service.

To mitigate this challenge, the administrative team worked to dispel inaccuracies among faculty regarding the future of the school during the decision making process. The vice principal recalled, "What the administration had to do was quell the rumors and proceed with facts as far as a decision was concerned. We needed to make sure that the correct information got out to the public."

School 3 prioritized a business-oriented perspective in the process of expanding that included a sharpened focus on customer service, attention to business partnership opportunities, and positive promotion of the school amidst uncertain times for a sensitive independent school community. With almost four decades experience serving as a business executive in finance before taking the helm of School 3, and holding a masters degree in business administration, the president was well situated to steer the expansion process along from a business orientation. The president declared,

> One thing that I always felt in running a school, and this is my business background, is a belief in the term, "customer service." I think sometimes we take parents for granted, and

> we don't recognize that without students and parents, our customers, we don't have a school. The parents, the customers, are always right.

Aside from setting the tone among faculty by underscoring customer service, the president emphasized how leadership structures borrowed from business helped the school operate more effectively, especially with regard to the expansion processes. The president explained,

> The president-principal model is definitely an assist for schools in competitive times. You cannot expect a principal to carry the operating load of curriculum and accreditation, and personnel evaluation of faculty and discipline problems, and expect them to do the financing, and the fundraising, and the networking with corporate. Strategic planning, legal matters, fundraising, and capital campaigns have got to be with the office of the president. Let the principal run the school, deal with the discipline, deal with the academic curriculum, and all of that. Delegating and monitoring, I think, is the better way to go.

In keeping with a more fiscally conservative business mindset, the president made difficult decisions related to human resources in the lead up to the expansions with the goal of financially stabilizing the school. The president recalled,

> The most painful decision, in hard times, as a school leader that I faced here, was making the hard budget cuts, and the staff reductions, and the pay freezes, and for administrators, a pay cut. And we even had to suspend our pension plan until we got on our feet.

The emphasis on a business mindset was evident, too, in the strategic committee chair's recommendations to independent schools considering expansion. The chair stated, "risk," "financial analysis," "debt," "cash flow," "liabilities," and the need for a "thorough and comprehensive financial analysis" by "people that have the expertise," as critical to the

organizational change process. Additionally, the president cautioned, “A new building is really great, but maintaining it is gonna be very costly. Make sure that you have the funding before you get involved in capital expansion.”

The shift to a more business-oriented disposition by leadership meant the school went beyond the cultivation of positive relationships with its feeder schools to recruit students. It also sought out and was receptive to strategic partnership opportunities in the community that would assist or provide options in the expansion process. One of these possibilities was encouraged by a top religious leader in the state who encouraged School 3 and its key competitor to explore the prospect of opening a coordinate school with boys’ and girls’ campuses. However, this was determined to be cost prohibitive and School 3’s consortium was adamant about serving the marginalized population in the neighborhood surrounding the school. Another possibility that almost came to fruition involved the potential consolidation of School 3 with a nearby religious elementary school, or School 3’s management of the elementary school’s operations through a management contract. The president recalled,

> I was engaged in a conversation with a former [religious leader] at [the elementary school], and it would’ve been a terrific model where we were talking about a possibility of School 3 collaborating with [the elementary school], who was experiencing a decline.

Despite support by the elementary school’s board of directors and the top religious leader in the state, the partnership opportunity fell apart due to a couple of key constituents at the elementary school who opposed it. School 3’s president remarked, “If you looked at that business model, it would have strengthened our school tremendously and I thought it was a very innovative model.”

School 3 also sought out community partnerships with foundations that helped increase enrollment during the expansion process. One very important partnership program aligned with

the school's social justice mission by granting full tuition scholarships, at-home counseling visits, computers, and clothing to students in need throughout their four years of high school. Through this partnership, the school enrolled 12 full-tuition paying students.

The shifting landscape and growth in competition for students among similar faith-based schools that had been contributing to School 3's enrollment meant that leadership had to carefully navigate the market by promoting its expansions while being sensitive to its traditional partners. The president of School 3 worked hard in the community to dispel incorrect rumors about its marketing strategies and student enrollment in order to maintain positive relationships with its religious-based feeder schools and especially those with middle schools. The president stated,

> Whenever I heard there was some disenchantment, I made it a point to either send word back that "No, that was an inaccurate statement. We're not doing that," or tried every which way to make sure people understood the truth.

Nevertheless, schools were upset that lost students to School 3, particularly when the loss occurred in the 6th and 8th grades. The president recalled, "There were [religious-based] schools, elementary schools, that blamed School 3 for their decreased enrollment because our enrollment increased and their enrollment decreased." However, leadership explained that students newly enrolled at School 3 for reasons related to convenience, academic and athletic programs, and price competitiveness rather than through aggressive marketing techniques. The president explained, "I was very sensitive to keeping statistics on that, and the numbers didn't show we were drawing people as much as the perception was we were drawing."

Though School 3 could pursue the opening of an elementary division or lower its tuition to further increase business revenues, the president stated that it chooses not to do so, explaining,

"On one hand, it may be a competitive business thing, but personally, I feel that it would be a detriment to the [religious] elementary schools in the neighborhood who are struggling a lot." In its neighborhood one school had already closed and three were seriously struggling to remain open. By lowering the school's tuition, the president explained that School 3 "would destroy the many feeder schools we have right in [the neighborhood] on [the nearby street] and [adjacent neighborhood]."

The poor financial state of the school, its religious-based culture, and the existing options available to increase business revenues meant leadership needed to be deliberate yet flexible in its management approach to the school and its expansions. The president explained the challenge of shifting from business to school leadership, stating, "It was different from being an executive here as opposed to the corporate world where you pay people a lot more money, you expect a lot more, and your tolerance level is probably shorter." Despite the president's management style being self-described as "participatory," School 3's head was required to be more flexible, especially with regard to managing personnel and being tolerant of delinquent parents. The president recalled,

> I, admittedly, did have to learn to be a lot more patient in my decision making as an executive. Especially in a [faith-based] school, there's a lot of compassion and patience you need to exercise in executive decisions, whether it be decisions over faculty and being tolerant about their length of time to seek professional improvement, or being tolerant and more patient about helping parents, who sometimes are not diligent about paying their bills and don't have a valid excuse.

This need for greater tolerance from the former business executive extended to how the president and community interacted with the expanded student body. For example, the school head stated

how leading the school taught the former corporate executive to be "tolerant and accepting of young men and women, who on one hand could be asked to leave, but you want to give them a second chance because we're all about [religious] identity and compassion and trying to groom them." The school community, too, demonstrated openness to the significant change in the student body that went beyond tolerance in its acceptance of girls to campus. The strategic committee chair explained,

> It's also just the spirit of School 3. The girl students feeling very welcomed, feeling integrated, feeling that this just wasn't a move to increase enrollment and improve the bottom line of the school. And that girls wouldn't be like second-class citizens in an all-boys school.

While School 3 was deliberate and flexible in its approach to the expansion process, it equally meant that it did not have all issues ironed out prior to the expansions. Unanticipated outcomes and unresolved issues related to faculty positions, athletics, and uniforms required leadership to learn while managing the issues and find solutions. Among the most significant decisions by leadership in the expansion process that impacted the student experience and assisted with the success of the endeavor was the creation of the dean of women position and determination of the position's role and responsibilities. The admissions director explained the learn-while-doing decision making, stating, "The dean of women position kind of evolved out of how we saw things needed to be restructured."

The unanticipated high level of participation by girls in the high school athletic program was another outcome that caught School 3 by surprise. At the start, the vice principal explained, "It wasn't like we could just suddenly throw the doors wide open." However, the administrative

team made accommodations in order to afford equal opportunities to all. The vice principal revealed,

> We were kind of blindly budgeting for a women's athletic program, with certain expectations. And I think they exceeded those expectations from the get-go in terms of their willingness to participate. And that meant having to rethink things as time went on.

Indeed, the expansion process required the administration to make in-the-moment decisions to accommodate female student athletes. The vice principal stated, "It was kind of just a learning experience there, based on their participation levels." In cases where School 3 did not have enough players to form girls' teams, it made arrangements so they could play. The vice principal explained,

> We did with them what we do with the guys. If you want to play a sport and we don't have that sport, or we don't have enough students to have a team in that sport, then we'll hook you up with another [league] school.

School 3 demonstrated high tolerance and openness to making decisions impromptu. The vice principal explained, "Down the road, obviously, if there is more interest, then yes, we build those programs up. In the short term it's take care of them where they're at, provide whatever opportunities that we can."

The need to make decisions in the moment also related to appropriate dress and uniforms for the female students and athletes. The dean of men recalled, "Women's uniforms. That was an adventure. We really didn't know what we wanted to put on the uniforms." The same applied to the decision to have the girls wear full-length dresses for graduation. Since the first year of females graduated in 2016, the vice principal stated, "Let's put it this way. After this year, it'll either be the new tradition or it'll get tossed out in a second." Despite the unanticipated

challenges, the school was very pleased with the decisions to expand. The strategic committee chair commented, “We took the leap and, I think in the long run, it’s been the best thing for the organization, for the school.”

Develop an expansion plan reflective of school identity, strengths, and market opportunities. Although the impetus for School 3’s expansions was fiscally driven, the school developed a plan for growth that reflected a clear understanding of its identity, strengths, and market opportunities.

The expansions at School 3 were rooted in the school’s long commitment of providing faith-based educational opportunities to male high school students marginalized by poverty in Hawai‘i. Core values and guiding principles embodied in the school’s namesake and its conscious decision to be geographically situated in a socioeconomically disadvantaged area characterized a purpose rooted in defined values and a nearly five-decade history that made the expansions more than just about the financial bottom line. The strategic committee chair explained, “The mission, the tradition, [our guiding principles], the values, all of those kinds of things were a driving force behind the expansion.” The chair acknowledged that while the expansions were also about “dollars and cents,” they were “not all about dollars and cents,” stating, “The dollars and cents have to make sense in relation to what you’re really trying to carry out. And in this case, it’s expanding the mission, and the reach, and values.” The president explained these guiding principles, or essential elements, that steer School 3’s mission, stating, “There are seven basic principles and they include things like speaking the gospel, being an advocate for social justice and the marginalized, excelling in every endeavor that you do, and so forth.”

The clarity of purpose embodied in the school's faith-based guiding principles and core values focused the expansion process along themes of social justice even though School 3, itself, struggled financially. The president stated,

> I beg to challenge any school that does as much in terms of relative dollars and percentage of helping the marginalized to get an excellent education. You talk to our people that graduate and got into successful schools and they will tell you the core values, [our guiding principles], taught them to become responsible citizens. And that's what we're about. School 3's not flashy or fancy, but I'd like to think we get the job done.

The desire and drive to root the expansions in School 3's mission were reflected in policy decisions and sacrifices by faculty and administration to increase access to mission appropriate students. The admissions director shared that over 80% of the students receive some form of assistance to attend School 3. This amounts to $1 million dollars, the dean of men explained, "which could go to teachers' salaries and things like that, but we want to keep the mission of the school intact." The challenge of finding an appropriate balance between its philanthropic mission and the business of operating a school is a frequent topic of prolonged discussions among School 3 leadership. The president shared,

> Without a large endowment for scholarships and without very prominent alumni and donors, it is a continual struggle to try to help as many as we can while trying to have a favorable bottom line. We forego a lot of improvements or expansions unless it is critical to learning or health and safety.

By making no change to the mission, core values, and even the identity of the school, School 3 executed the expansions in a way that made sense to its constituents and the

communities it served. Ironically, by changing, the school preserved its identity. The vice principal explained,

> That which makes us School 3 has not changed. It's just that we're a coeducational institution now. So in that sense, it's expanded it, but at our heart, we are who we are still. It's just that we don't only express it through our guys, it's through the men and women of our campus.

Despite what was a transformational change at School 3 by becoming coeducational after 50 years, the addition of girls to campus made mission-sense to those inside and outside the school, and resulted in a very positive organizational change for the school. The chair of the board's strategic committee stated, "The fact that this became successful as quickly as possible was a clear indication of that mission and that tradition coming to life in a way that created so much new energy at the school." Like all School 3 members interviewed, the vice principal described the expansions favorably, stating,

> It's one of the best decisions that we've made as an institution. Not just in the sense of preserving the school, but it has renewed and expanded the spirit of the institution. It's "School 3 Plus," is the way I look at it.

The president of School 3 explained that this clarity of purpose and ability to expand the mission to a greater population attracted community funding that helped facilitate the expansions. The president recalled, "We also appeal to corporate donors, who, I will say, have been very favorable because of our mission."

The expansions at School 3 were not only deeply rooted in its mission, but also a commitment to its traditions, ceremonies, and sense of place that contribute to its identity as a religious, college-preparatory, educational institution. The president stated,

> Our tradition of being a faith-based organization has been stronger than ever. So I think there are a lot of things that we would say might have changed in terms of coeducation, and physical plant, but basic traditions, spirituality, and our core values haven't. The essential elements of [our faith-based] education have been solid, and we live by those as our principles and values.

This commitment to its traditions and values helped create a sense of place akin to a family on School 3's campus that positively impacted the expansion process. The vice principal elucidated School 3's culture, explaining,

> The one hallmark of this school has been the welcoming nature of its students, I think, from the get-go. Our students here, whether you're talking about back in '62 or whether you're talking about today in 2016, have always been open and they've reached out to other people. And I think that's one of the things that facilitated the transformation.

Although the addition of girls to campus departed significantly from the all-male tradition at School 3, the school preserved its motto. The chair of the board's strategic committee explained that the school found new meaning in its motto, stating, "We were able to find a legitimate, appropriate meaning, which would be broader." The school also maintained its strong commitment to academics and continued traditional ceremonies meaningful to its students. The president stated, "The traditions and most of the customs and things we do, have really not changed." These include the school's ring ceremony, student government elections, and graduation ceremony, but also, the spiritual side of students. The dean of students stated, "That's a very, very big aspect here, making sure that our women's spiritual needs are fulfilled."

In addition to rooting the school's expansions in its strong identity, School 3 recognized and built upon its administrative strengths to seize niche market opportunities and facilitate a

successful process. Among the board of directors and school president, there were not only strong leadership skills and talents, but deep trust in each other's abilities. On the board of directors, members included an assistant superintendent of faith-based schools in Hawai'i, a university professor of education, alumni, and individuals with backgrounds in labor and construction. The strategic committee chair also had experience with a struggling school on the Mainland that became coeducational thirty years ago, and today is one of the strongest faith-based schools in its state. The chair explained that combined, this broad range of expertise and experiences to conduct "internal and external analyses" was "absolutely critical" to School 3's expansion processes, stating, "You have a board that has that kind of capability or capacity that, in a sense, is validating what the administration is finding and making as a recommendation. There's a lot of engagement. There's a lot of ownership." In speaking of the confidence of the board in the president's leadership and abilities of the administrative staff, the chair stated,

> From the conceptualization stage, we have a very capable, strong leader in [School 3's president]. In addition to [the president], as far as the top-level administrative staff, obviously, we had confidence in their ability to do certain kinds of analyses as far as whether this would be a good decision.

The confidence of the board in an experienced and competent leader, and a school president who was also confident to successfully negotiate and navigate the complexities of an organizational transformation constituted strengths that School 3 capitalized on to execute successful expansions. Reflecting the confidence of nearly four decades of business experience as an executive responsible for half of the operations at a $1.2 billion dollar company, the school president stated,

> I felt very comfortable in having the basic background in running an organization. I was able to oversee the responsibilities in the legal department, human resources, information technology, many of the functional areas that would carry over to help me operate a school with limited resources.

In addition to the leadership capabilities of the board and president, the leadership experiences of the principal in other coeducational schools prior to School 3 helped facilitate the organizational change. The vice principal explained,

> The [consortium member] who was the principal at the time of the transition had just come from a coeducational school on [the Mainland]. So he had that background as an administrator, and he surrounded himself with individuals who had worked with girls, worked in coed environments.

The school expansion process benefited from existing infrastructures in the physical plant and organizational culture that assisted leadership with structural and programmatic modifications in order to best serve the students in the organizational change. For example, the expansions forced leadership to be creative and flexible in making changes to its facilities under a short timeline. The strategic committee chair explained, "There are limitations in terms of facilities, buildings, the campus, that kind of thing. But on the other hand, there was some opportunity for growth within the existing footprint of School 3." The president explained that although the expansions compelled the school to make some infrastructure enhancements, it was able to minimize construction costs and inconveniences, stating, "We could do everything without really inconveniencing classes or having to close down school or anything like that. We just converted the bathrooms over the summer." Likewise, for curricular and co-curricular programs, the positive attitudes and openness to change rooted in the school culture served as

strengths to provide opportunities for the girls. The president explained that although Title IX compelled the school to provide equal opportunities for both genders, the school had already recognized this need in its strategic plan to provide academic, athletic, cultural, and spiritual programs for all its students. This desire for fair and equal opportunities for the students served School 3 well with the expansions and was apparent in the attitudes of all school members of leadership. In one conversation, the president stated, "We've got a lot of great student leaders that are girls now. So that kind of augmented our strength."

Recognizing School 3's mission, strengths, identity, and financial state, leadership marketed to all age- and mission-appropriate students, but especially catered to a niche market of students who were traditionally marginalized, valued quality academic programs, and faith-based education, but could not pay the higher-end tuitions at other independent schools. The president stated,

> We have a market for those students that prefer a small school, where their learning would be more effective in an environment like ours. There's close supervision, there's compassion and caring, because the student-teacher ratio is still within range of being able to account for each of the students and their progress.

Manage resistance while supporting staff through retraining and hiring. The president of School 3 led the organizational change process by managing resistance while supporting staff through retraining and hiring. This process required the assistance of external consultants as well as flexibility by faculty and students throughout the transitions, but particularly so for the shift to coeducation.

School 3 was fortunate with its expansions in that resistance was light by alumni, faculty, students, and parents. This helped facilitate a relatively smooth transition for the institution.

Conversely, if significant opposition had existed, internally or externally to the organization, the leader's challenge in managing change could have been formidable. The strategic committee chair explained, "If you have a degree of resistance to change, that's gonna make a huge difference in terms of the transition that's going to occur. There was very little of that, seriously. It's kind of amazing." Faculty members corroborated this sentiment. One stated, "I didn't detect any divisiveness among the faculty," while another explained, "I think the attitude here was much more easy-going than say, if you were to try do this at [another local independent school]."

Nevertheless, leadership and faculty did devote time and energy to anticipate and address concerns by constituents, and thus mitigate any opposition to the organizational changes. In part due to the turnover in faculty prior to the expansions, any resistance that did exist among the remaining veteran teachers reflected less of a philosophical difference to the pending changes than to change itself. The music director acknowledged, "As with all things, initially, there were some murmurs, and not quite grumbling, but people don't like change." Even among students, resistance was light and came in the form of comments under their breaths while passing in the halls, according to the world languages department chair, who recalled, "The only people that were negative was that last class. But really, nobody else was negative towards it." The more pressing concerns of the president and administrative team related to resistance by alumni. The vice principal recalled that the "push-back" by alumni was by those, "who held sacred what School 3 had been up to that point in time, and they didn't want to see change for any reason, whatsoever." For this reason, the decision to expand by adding girls to campus was an especially hard thought decision. The president stated, "Going coeducational was a risky decision because I had to overcome the politics of the alumni who had been accustomed to all boys." School

leadership was able to convince the alumni and existing students of the need for change through transparency and open dialogue. The vice principal stated,

> A big challenge that we faced was educating them as to why the change was needed in the first place. That this was important for the long-term viability of the school. But also, to get them to understand that it's not fundamentally changing what School 3 is all about.

By strategically implementing the expansion to coeducation over time, School 3's leadership purposefully sought to "appease" or "neutralize" opposition to the institution's changes. The president stated, "We started with grades six to nine and each successive year we added a grade. So that gave the parents in the high school the satisfaction, or maybe the relief, that their sons would graduate in an all-male class."

The leadership and efforts by the president and administrative staff as well as the faculty and students supported a rather smooth expansion processes. While school leadership created new administrative positions and invited outside consultants to help train teachers and students, the faculty and students demonstrated a high level of flexibility with the transformative changes underway.

The disruptions to teaching and impact on faculty morale caused by the declining enrollment and resultant financial constraints required a high level of patience and understanding by faculty that helped with the organizational change processes. The music director explained,

> The year I came in was the largest new bunch of teachers, but it was still fairly sizable for the next few years after that. Once the student body gave enough of an income to the school to legitimately hold onto teachers, I think, that really started to turn things around.

Regarding the decisions to expand, the faculty was generally amenable to leadership's direction and flexible with the resultant consequences. The music director stated, "As far as the rest of the

faculty felt, as long as it didn't do serious damage to what we wanted to do in the classroom, whatever decision they made was okay." Beyond flexibility, the faculty exhibited a positive attitude toward the expansions by seeking understanding as to how the changes would translate into their classrooms. The strategic committee chair stated, "The faculty made a concerted effort under the leadership to try to anticipate what's this going to mean, and how do we be proactive rather than just reactive?"

The president recognized that after nearly half a century of operating as an all-male high school, School 3 would need additional training to support the expansions. The school culture had become so strongly male-oriented that one veteran administrator stated that it was School 3's "biggest challenge," while another personally admitted, "For me, my mentality had to change." To assist with the transition, the president invited external consultants at other faith-based, independent schools on the Mainland to School 3 to speak to the faculty and students about creating an environment that was inviting and conducive to learning for girls. Some of these meetings presented the expansions as part of and within the context of the mission of School 3, explained the president, who recalled,

> We brought in [religious female educators]. They had worked with the [consortium] to come and talk to our faculty and talk to our students and explain to them that our purpose was to help explain the legacy of [our namesake], [the founder of the consortium], the founder of this school, and School 3's tradition to their new students, and to treat them as sisters [of our faith].

Other workshops focused more on technical aspects such as skills and techniques for instruction. For these training sessions, School 3 relied on the expertise of the consortium, which operates eighteen coeducational and single gender schools nationwide of which some are all-girl

institutions. The admissions director explained that in the year before the expansion to coeducation, “They came in and gave us workshops on how girls think, their learning styles, how they respond to criticism. We ran the gamut of women’s learning styles. So it opened our eyes in terms of adjusting.” By hiring outside consultants with expertise in teaching girls and managing coeducational environments School 3 leadership sought to support the process and avoid potential pitfalls. The president explained, “What we had to prepare for is a different culture in accepting women. Women learn differently, women behave differently, I think we were cautious to prevent problems or adversity with interactions.” As a result of leadership’s efforts to support the process with training, the school was able to more smoothly transition to coeducation. The admissions director stated, “All the workshops we went to, I thought, prepared us pretty adequately.”

Once School 3 started accepting girls, faculty and administration soon realized the necessity of creating new faculty and administrative positions in order to support unanticipated needs of the female students. The president explained, “Recognizing that the female gender had special needs, or different needs, we did create a new position called the dean of women and it is a very essential position.” The creation of this position in 2015-2016, split the dean of students position into two so that there was now a dean of men and a dean of women. To better serve the school in its new form, the president also hired additional counselors and a health professional, and restructured the administrative positions so that the dean of academics became the vice principal and the two deans served on the administrative team. The health care professional and additional counselors have been critical to the expansions as they have addressed increased demand for these services by the female students, particularly with regard to sanitation among younger girls and emotional issues among older girls. One faculty member stated, “I see an

increased counseling workload for the counselors here, because of our female students," while another argued, "Boys will grin and bear it when they're not feeling well. And unless something's really bad, they don't ask to go home." The additional costs to School 3 to provide the social-emotional student supports, however, are monies well spent, according to the president, who explained, "I pride myself in paying a lot of emphasis towards having counselors adequate to service all of our students' needs."

Celebrate early successes and unanticipated positive outcomes. School 3 experienced rapid and positive responses to its school expansions as indicated by increased enrollment and broad acceptance by its alumni, faculty, and students. The school celebrated its early, unanticipated successes in the community, which further supported the expansion processes. The strategic committee chair commented, "I just think that speaks volumes in terms of re-energizing and creating a momentum, which is foundational, then, for this new chapter in School 3's evolution."

School leadership both enjoyed and sought out opportunities to promote the successes of its expansions via media exposure of its coeducational academic and athletic programs to build momentum. The president explained,

> The media was terribly excited about covering the first day of school when the girls came. At every opportunity they offered to interview me. All of that "buzz" really helped the school to successfully present a nice picture that it [expansion] really worked for us.

In addition to providing media-initiated interviews to celebrate these early successes, the president sought to tell the honest story of the girls' experiences at School 3, stating, "There was a lot of transparency, actually. It was a combination of a lot of newsletters, a lot of meetings, a lot of exposure in the media, focusing the attention on how girls were doing." This included the

school sharing the successes of the various curricular and co-curricular programs at School 3. The president recalled,

> I did a lot to put positive tidbits in media by advertising the accomplishments of our girls and boys whenever possible so the community could see a new School 3, boys and girls interacting, boys and girls on service projects, and academic achievements.

The consistent and transparent communication efforts by the school helped the expansion processes build momentum within the community. The world languages department chair explained that although enrollment numbers had been "so low for the longest time," the school's director of admissions shared, "We didn't anticipate how the general public would embrace the idea of School 3 going coed and how successful it would be. Within a three-year span we almost doubled our enrollment. We went from under 400 to pushing 700."

This success was felt and celebrated by School 3's constituents, from the board of directors to students and alumni, who promoted the positive news within School 3's community. The president explained, "When we invited alumni to the school for different events, they were pleasantly happy and surprised to see and hear the cheers of the girls, and operating so wonderfully, and comparing themselves when they were here." For those alumni with daughters now enrolled in School 3, the dean of men reported that they are "99.99%" satisfied. Even the admissions director, who is an alumnus of School 3, admitted,

> I never thought I'd say this because I came from an all-boys School 3, but I think the students now are getting a better experience than when I was a student, just because of the fact that the girls are on campus.

The dramatic and rapid rise in enrollment enabled School 3 to expand program offerings to students in academics, athletics, and other co-curricular activities, which has led to successes

and recognitions, such as the girls winning the state basketball competition for two consecutive years. Likewise, in the classrooms, the increased and steady enrollment translated into greater stability of faculty retention and ability of School 3 to expand its offerings of classes and programs to students. The music director explained, "Faculty stability has been tremendous for the student body. When you had a sizeable number leaving before, it's hard for kids to get recommendations and know who's gonna be teaching the class that they're gonna be in next year." The addition of girls has also increased the level of academic competitiveness and thus, improved the caliber of the student profile at School 3. The president explained,

> Competition between males and females has worked well for us. This is the first year we'll have a [coed] graduating class. We actually are going to have two valedictorians—one boy, one girl. We're not going to label one or the other as co-valedictorians. They were virtually identical in GPA up to the 100th of a point.

Recognition and celebration of the early successes of the expansions, therefore, helped promote and build momentum to achieve higher enrollment numbers and improve the financial security of School 3 just as it completed its first 50 years of all-male graduating classes. The vice principal explained, "The first coeducational class is the 51st, so a new era has begun in every respect." Indeed, within three years, the school moved from a state of impending closure to one considering the placement of students on enrollment waitlists. The admissions director explained, "That's something that's unheard of in terms of the admissions. It's kind of a new conversation the administration's thinking about. A luxury we didn't have before." Since expansion, the school has also marked a new era in attracting students of families with higher income profiles." Despite this change, the admissions director stated, "We have not deviated away from the

mission. We still are very, very conscientious of the challenges of the poor, the marginal. Our financial aid is still a very big factor in the running of the school."

Impacts of School 3's culture and organizational climate in leading organizational change. In leading the organizational change processes, the president at School 3 navigated and negotiated the dynamics of the school's culture and organizational climate, which at times meant decision making informed by these forces, and at other times, shaping them.

School culture and leading change. To some extent, the strong organizational culture rooted in School 3's religious identity and personified in its namesake assisted the president in leading the expansions, which was also supported by robust faculty and student leadership.

The president of School 3 firmly believed that in order to successfully lead an organizational change as transformative as changing a single-gender school to coeducational after half a century required the leader to deeply understand and believe in its mission-infused culture. Of primary importance in leading this organizational change, the president stated, "Be prepared to know your mission." As a parent of a graduate, former member of the board of directors for 10 years, chair of the board for four years, and practitioner of the school's religion, the president became the reassuring calm eye of what potentially could have been a storm at School 3 as it underwent the expansions. The president explained, "All of those things combined, allowed me to understand and accept the mission of School 3, and I think that's very important for a leader: to understand, to accept the mission which drives everything we do at School 3." So although the school did experience transformative changes by adding a middle school division and becoming coeducational, the essential elements of what constituted the identity and culture of the organization stayed the same. The vice principal remarked, "I don't know that the leaders have created new meaning. I think it's merely redefining within the context of being a

coeducational institution. I think our mission hasn't changed." That is not to say that the school failed to acknowledge the role of culture and leading cultural change as it executed its expansions. The strategic committee chair emphasized, "The board was very cognizant of the critical nature of this type of a transition. When you're all-boys for 45, 46 years, things are done a certain way; there's a culture that's established." Consequently, School 3 did take necessary measures to accommodate and integrate the additional grade levels and girls on campus, as noted previously, particularly with regard to the social-emotional and health concerns of its female students. The chair stated, "So there was a lot of concern about how the girl students would be accepted. The confidence, again, was there that the leadership had thought a lot of this through." Specific ways that the president and administrative team worked to facilitate a smooth cultural change included modification of the school motto to embrace a broader and more inclusive interpretation, staggering the enrollment of girls over multiple years, changes to the student handbook and policies, and public exposure showcasing the changed face of the school. Changing the school culture required changes internally as well as externally. The president stated,

> We reassured our alumni by having our students exposed to them in terms of different activities. And so, when we had the girls performing in the hālau at events, or we had our evening of the arts, where we had now the girls playing in a band, the community was invited to see how wonderfully the parents were doing.

Thus, the president was essential in serving the dual roles of shaping and communicating the preservation of School 3's distinctive culture and identity throughout the expansion processes. In reflecting on the central role of this culture and the organizational change processes, the

president stated, “The expansions coincide with our mission to try to help the marginalized and to help [students] have a [faith-based] identity.”

In addition to the school president and board of directors, faculty and students supported and shaped a positive culture in the organization’s expansion processes by serving as informal leaders at School 3. On one hand, faculty helped shape the culture by ensuring traditions continued and by providing input to the decision making that impacted the organizational rhythm of the school. On the other hand, students lent their assistance by contributing ideas and embracing a school culture open to innovation and change. Broadly, this perspective was shared at the highest levels and set a tone for meaningful participation at the school. The strategic committee chair stated,

> Like within any organization or any business, sometimes the folks that are really making it happen, where the rubber hits the road, know what needs to happen before everybody else does because they’re dealing with it, and they see it. For a lot of the administration, they may not have that. They have it up here [pointing to own head]. It’s conceptual. They understand. But on a reality basis, it’s a little bit different.

In the classrooms and on the fields, the faculty supported the core tradition of volunteerism at School 3 through modeling and more deliberate instruction. The world languages department chair stated, “Because we’re a small school, I think we all pitch in where we need to help out.” This unique cultural tradition is purposefully taught to students, including the recent female student additions. The dean of men explained,

> The culture hasn’t changed because one of the basic fundamentals that we do teach all the time is if people need to be counted, you step up. And the women have done so as

much as the men. I think that's a real, real big culture as far as cultivating leadership. The fundamentals are taught. You step up and you carry on.

Indeed, this tradition and fundamental characteristics of the school's culture, like others, live on even after the expansions. The vice principal explained, "School 3 is entering a new era, but we retain many of the traditions that we've had since we opened in '62." Notwithstanding, the dean of students indicated that the immutable aspect of the culture at School 3 is its mutability. The dean explained that students are regularly instructed, "Don't be absorbed in the School 3 culture; add to it." Modeling this behavior, faculty stepped up and assisted with organizing new clubs, programs, and student activities. The president acknowledged the faculty leadership stating, "The informal leaders would be all of the advisors that we have for their various service clubs and student government. They do so many things and not only in terms of service projects, but in terms of learning."

Faculty and administrators also contributed in other ways to shape School 3's culture in the expansion processes that demonstrated their participatory spirit and the president's democratic leadership style with regard to certain decisions. These included reinterpretation of the school motto, which was held sacred by alumni and existing students, and recommendations for the physical plant modifications to accommodate the girl students. The director of admissions explained, "For those kinds of implementation decisions, the administration was involved in, and the teachers were involved in helping them."

In the spirit of School 3's tradition of volunteerism, a combination of faculty and student leadership proved crucial to shaping and perpetuating the family-like, engaged, and high-achieving organizational culture in the expansion processes. The admissions director stated,

> One way that the school culture facilitated the process was, it's a small school and I think when parents talk about School 3 they always say that it really is more than a school, it's like a family culture. So, in that regard, the women were welcomed with open arms and people really looked out for them, whether it'd be administrators, faculty, or older students.

Indeed, the successes of the expansion processes were assisted by the existing school culture, which, in turn, was shaped and lived daily by the students. The effects of this interaction had "transformed the campus," and created "a sense of common purpose" among male and female students, according to the vice principal. Expanding on this change, the music director believed that "the evening-out of the emotional context was a far bigger plus" than any loss to School 3 culture due to the expansions, particularly with regard to the school becoming coeducational. The close-knit atmosphere on campus and desire by students to want the expansions to succeed demonstrated a student body engaged and understanding that their decisions and actions were consequential to the continuance of their school. The band director recalled,

> The kids really took care of each other. That was one of the things that was really special—that you could tell everybody was in it to take care of each other. I got the sense they wanted it to go smoothly, too. It was everybody moving along trying to make it happen.

The process of enfolding the girls into the new culture and encouraging them to co-construct a new culture occurred rapidly for the school to the extent that before the first coed class had graduated, School 3 already was acculturated as a coeducational campus. The director of admissions stated, "The older students kinda warmed up to it and now it's as if we were never all boys."

From the start of the expansion to coeducation, the female students quickly took to heart School 3's culture by becoming very active participants in defining their roles at the school. As agents of change, many successfully engaged in student government, clubs, athletics, pep rallies, academics, and decision making impacting policies such as dress code and graduation attire. The decision by leadership to provide both female and male students agency in decision making processes of the expansions occurred organically as needs arose. Administrators shared that as recently as last year, changes to school dress code and graduation attire were implemented "as a result of experiences" and "students providing feedback." The dean of men explained, "They were curious. They knew what they could bring to the table, but where? Where could they go ahead and contribute to the entire culture of the school?" Elaborating on the girls' contributions to the culture and how these helped the school overcome initial challenges to the expansion process, the vice principal stated,

> We had a really strong class that came in and as they've moved up and taken over and become involved in sports and clubs and student government, and done really well in the classroom. They made that transition much smoother than it could have been.

In the classrooms, too, School 3 benefited from the higher level of academic achievement by the addition of girls, with more students ranking in the top 10 and receiving acceptances from more competitive schools. The world languages department chair stated, "The level of academics definitely has gone up with girls. It's also a lot more accelerated now."

While the results have been very positive with the addition of girls to the School 3 campus, one veteran teacher made a point to recognize that the expansions did bring about an unexpected loss of intimacy and camaraderie among male students. The music director explained,

> The one thing that I noticed doesn't happen any more is the boys actually had a little more contact with each other. And it was in a masculine sense, but they were able to show a little bit more deepness of affection than what I see now when the girls are here. So for me, in a sense, that was one of the losses once we switched to coed.

Still, the "tempering effect" that the girls had on campus was, for the music director, a net positive change due to the "trade-off to the academics and the social context."

***Organizational climate and leading* change.** The context in which School 3 leadership navigated the processes of organizational expansions presented challenges and opportunities in which decision making and implementation were both buffeted and assisted by the organizational climate. Chief among the contextual factors of the operating environment include members of the school community, developments in the Hawai'i public school system, and the enduring challenge of the state's high cost of living.

School 3's constituents, the alumni, parents, and community partners both helped and posed potential challenges in leading the expansion processes. Despite the faculty and administration identifying the alumni as the "biggest challenge" to the decision to expand, the alumni's inability to financially contribute generously and en masse ironically assisted the president's decisions to expand because there were few alternatives courses for the school to pursue. The president remarked that at first this was an unanticipated event, stating, "I didn't realize how difficult it is to get the alumni to contribute to capital campaigns and annual giving." Later, the president acknowledged the circumstances of School 3's alumni explaining, "The earlier classes are coming up for retirement but the vast majority of our alumni are still financing kids in college. And being that we help the marginalized, they're not in a position in greater numbers to participate." As a result of School 3's declining enrolment and closure of

independent schools in the community, the dean of men explained to alumni in no uncertain terms the urgency and logic of expansions as reasonable decisions to sustain the school, stating, "My remarks at the alumni meeting were rather to the point."

Another unanticipated event that required leadership attention related to lawsuits filed by alumni against the school and consortium that hurt School 3 and threatened the success of the expansions. The president explained,

> That has been not only a distraction, but a very grave concern on the outcome. And while this is a reality, we have to do the best we can in trying to mitigate or trying to mediate some of these cases.

Despite these challenges, the alumni have proved to be among the most important advocates in the promotion of the expansions after implementation. The president stated, "I can't hear one alumni complain about the transition, because it has been a success story for School 3." While the administration had expected that some alumni would send their daughters to School 3, the response was much stronger than anticipated. The dean of men stated, "The community was just so happy with School 3. They could now say, 'My daughter went to my alma mater.'"

Parents also played important roles that assisted leadership of the expansion process for School 3. The president stated, "The best story comes from our satisfied students and parents, so we use them heavily in our marketing." To cultivate a healthy and positive understanding of the expansions with the parents, the president frequently communicated with families with updates and progress reports. The president explained, "We had meetings with parents to reassure them that things are going to be alright." Once the parents and families saw the changes at the school, they were pleased with the results. The president stated, "Families like it because everyone

seems to know each other. It's not such a large campus and everyone seems to feel comfortable welcoming each other in that environment."

Outside the school, the administrative team made deliberate efforts to reach out to and meet each of the elementary and middle schools in the community to inform them of School 3's intentions of expanding. This provided its feeder schools and competitors an awareness of the changes that were under consideration as well as an opportunity to open up a dialogue in order to voice concerns and exchange ideas.

Traditional school structures and changes to them within the Hawai'i public school system impacted School 3's decisions to add 7th and 8th grades in 2004 and a 6th grade more recently. Under pressure to increase enrollment in a way that accommodated the traditional elementary school structure, School 3 first opened its doors to a junior high school division. However, once many of the public junior high schools adopted the middle school model that included grades six through eight, School 3 similarly adjusted by adding a 6th grade and thus creating its own all-boys middle school division in 2011.

One of the great hurdles that School 3 wrestled with prior to, during, and post expansions concerns the enduring challenge by school leadership of providing faculty and staff a fair remuneration package that adequately compensates for Hawai'i's high cost of living. The president explained,

> One of the challenges I think that every school has is getting the best teachers and retaining them. The cost of living in Hawai'i is very, very, very expensive. We've lost good teachers because they had to go back to the Mainland. If your goal is to buy a house, Hawai'i is not your place.

Thus, the high cost of living in Hawai‘i presents one of the critical conditions within the organizational context that impacted leadership’s decision making and implementation of the expansions at School 3. Other developments such as changes within the Hawai‘i public school system and the influence of School 3 community members constituted principle factors and circumstances that challenged and assisted leadership’s navigation of the organizational change processes.

Cross-case Analysis

Each of the three independent schools examined in this exploratory study experienced organizational change processes over the past 10 years that were necessary, challenging, and ultimately, transformative to the institutions as well as independent school education in Hawai‘i. The decision making and processes for these institutional changes were led by experienced and capable individuals, who hailed from diverse backgrounds. Despite the unique expansion journeys and distinct leadership at each of the schools, collectively, the organizational change processes shared a remarkable number of common features and leadership practices that this cross-case analysis synthesizes for the purposes of answering the research questions and providing deeper understanding.

Common factors that prompted schools to expand. For the three schools in this study, two broad factors caused leadership to negotiate and choose expansion as a viable means to re-vitalize the organizations and ensure institutional sustainability. Foremost among the reasons relate to non-sustainable finances of the schools that were resultant of the combined impacts of declining enrollments, the Great Recession of 2008, and relatively small endowments despite their long histories of operation in the state. The other factor related to competition and demographic trends.

Non-sustainable finances. Most significant among the causes to expand relates to the non-sustainable finances triggered by declining enrollments at each of the schools. This echoed national trends among independent and single-gender faith-based schools (Chubb & Clark, 2015, Oct. 6; Ewert, 2013; NAIS, 2016). Parents of children at these ailing schools were choosing less costly alternatives such as other independent schools, charter, and public schools. While the Great Recession was not the central factor that caused leadership to expand, it was a significant phenomenon marking the tipping point where the schools' traditional families could no longer afford to pay tuitions at the schools. Without sizable endowments or institutional sponsors willing to commit financial resources that could sustain operations, none of the schools of this study could continue to operate absent dramatic changes to retain their traditional families and attract new ones.

Competition and demographic trends. The second major factor causing leadership to decide to expand at each of the three schools was increased market competition for mission-appropriate students who could pay full tuition. Although Hawai‘i has one of the highest percentages in the nation of its children attending independent schools (Kolko, 2014, Aug. 13; State of Hawai‘i DOE, 2013a), competition has become fierce over the past decade (See Table 1, Chapter 1). This is especially true of the three schools of this study because they are not among the few larger institutions in the state that have created a de facto "pecking order" in the admissions processes due to unique attitudes in Hawai‘i where the general perception of "bigger is better" exists in the independent school market. Competition forced leadership at the three schools to take decisive action to expand their organizations by marketing to the other genders and adding new grade-level divisions, but also by innovating through the creation of high quality signature programs to differentiate themselves for the purposes of attracting revenue-generating,

mission-appropriate applicants who could matriculate into the schools. Demographic trends related to dual-working parents demanding greater convenience amid increased commute times due to traffic congestion was another salient feature among the factors that prompted the schools in this study to expand. Parents valued the single-gender, faith-based educational programs offered at the three schools, but they increasingly valued the convenience of dropping off their children at the same school, which trumped perceived benefits provided by single-gender education associated with a single school.

Common processes that facilitated school expansions. Though each of the three independent schools made trying decisions to expand that resulted in unique organizational change processes, certain leadership dispositions and practices helped facilitate and ensure successful outcomes. Leadership prioritized business-oriented mindsets to address the declines in enrollment and weak finances, but did so by developing expansion plans reflective of the schools' identities, strengths, and market opportunities. The school heads managed resistance by adopting firm but flexible approaches with faculty and staff that encouraged collaboration and celebrated early successes to build momentum and propel the processes forward.

Prioritize a business-oriented mindset to address declining enrollment. At each of the three schools, leadership prioritized a business-oriented mindset focused on an urgent need for action that called for a more authoritative leadership style to address the recalcitrant trend of declining enrollment and persistently weak finances. By presenting a sense of urgency amid a growing number of independent school closures, the school heads were able to convince the boards of directors and constituents of the need for change, and mobilize the organizations into action (Fullan, 2006; Kanter et al., 1992; Kotter, 1996). For Schools 1, 2 and 3, the heads of school and board members also began to think about their respective organizations more as firms

providing lines of business that were required to generate much needed revenue to support operations. At each of the schools, new signature programs were created and promoted that would attract students and generate funding to offer more value-added programs and improvements to facilities.

For each of the school heads and board members, there was mutual respect, support, and confidence in the leadership among the schools' top executives. Leadership at the respective schools emphasized that the expansion processes would not have been possible without strong and trusting relationships in each others' skills, dispositions, and capacities that wedded the school heads and boards together as one and consequently, projected a united front to the community of the decisions made and approaches taken to expand. Since all of the school heads were well-seasoned executives, much of their decision making was grounded in decades of experience and personal theories of practice from which they intuitively drew and led. This practitioner's knowledge (Argyris, 2000; Argyris & Schön, 1974, 1978; Carr & Kemmis, 1986; Doyle, 2002; Evans, 2010; Fullan, 2006; Herr & Anderson, 2015; Huberman, 1990; Humphreys et al., 2003; Jarvis, 1999; Lewin, 1946; Mintzberg, 1980, 1990; Nyíri, 1988; Osterman et al., 2014; Pettigrew et al., 2001; Piccini & Kershaw, 2003; Pogrow, 2015; Ryle, 2009; Schön, 1983; Yu, 2011) combined with the support and confidence provided by the school boards, were critical for the school heads as they moved their expansion agendas forward.

Given their urgency and importance, the "bold stroke" decisions to expand by the school heads were described as necessarily "top-down" but flexible (Evans, 1996; Kanter et al., 1992; Kotter, 1996). This less Emergent and more authoritative leadership approach helped facilitate the change processes under limited time and financial constraints and reflects the classical management theories of the Power-Coercive Change perspective and Culture-Excellence school

that enforces behaviors through transactional relationships between management and employees (Burnes, 2004b; Dawson, 2003; Evans, 1996, 2010; Firestone & Corbett, 1988; Lewin, 1947; Marion, 2002; Marion & Gonzales, 2014; Pettigrew, 1997; Pettigrew & Whipp, 1991; Ropo et al., 1997). To this end, external consultants proved critical to the organizational change processes for all three schools. These experts helped at different stages of the expansion processes at the schools, and all were deemed essential to the processes. For School 1, the consultants participated at all stages of the organizational change process, from the strategic planning phases to building programs and training faculty and staff, as well as post-expansion supplemental training. For Schools 2 and 3, the outside experts were mostly contracted for training of faculty, staff, and students.

A key value highlighted across the expansion processes at the three schools was the purposeful and organic collaboration that promoted positive processes and meaningful partnerships and resulted in successful expansion outcomes (Burnes, 2004b; Dawson, 1997, 2003; Evans, 1996; Firestone & Corbett, 1988; Kanter et al., 1992; Kotter, 1996; Pettigrew, 1997; Ropo et al., 1997). Successes in School 1's expansion processes were achieved, in part, because of collaboration intentionally designed to bring diverse groups together, but also, as results of unintended positive outcomes of collaboration. These included strategic planning meetings with board members, faculty, staff, parents, students, alumni, and other community members. School 1 also engaged with community partners to build academic and co-curricular programs that filled niche markets, which are discussed below. Similarly, School 2 worked collaboratively with school constituents to promote a smooth process, as well as partnered with foundations, universities, and community groups to provide services such as pools and parking as extensions to its expansions. Moreover, the head of school incentivized faculty engagement by

offering financial rewards. At School 3, the president promoted collaboration within the school among faculty, staff, and students by empowering them to create solutions to issues such as co-curricular activities, uniforms, and re-interpreting the school motto. Outside of school, the president and administration collaborated with community foundations to fund student programs.

The expansion processes also required tolerant and flexible dispositions among leadership, faculty, and families supported by the belief that the school leaders were competent in managing the challenges of negotiating and executing complex organizational change processes (Kanter et al., 1992; Kotter, 1996; Pettigrew & Whipp, 1991). For School 1, this meant leadership's need to project confidence in the expansion vision in order to build faith among constituents as well as the understanding by administration and faculty that decision making is frequently in-the-moment, and thus "reactive" versus "proactive." Flexibility was also required of School 2's teachers, who were required to adjust attitudes and teaching strategies to teach multi-age groups of mixed-gender children in the same classrooms. The board and head of school needed to change their original plans to gradually admit boys to school when demand indicated otherwise, and to, moreover, alter the traditional purposes of buildings and facilities to accommodate changing needs of the expanding school. At School 3, the president, administration, and faculty needed to be flexible and understanding to necessary pay cuts and benefits freezes due to budget cuts. The president also needed to be more tolerant of delinquent tuition payments made by parents, and faculty needing professional development. The president and administration were also flexible with students who were given greater power in decisions affecting their newly transforming school, but also, for those students who might have otherwise been asked to leave due to academic or behavioral issues.

Develop an expansion plan reflective of school identity, strengths, and market opportunities. The purposeful development of expansion plans rooted in clear understandings of the respective organizations' identities, strengths, and market opportunities represents a bright line cutting across the experiences of the three schools (Daft, 2010; Finch et al., 2010; Hallinger & Heck, 2002; Kanter et al., 1992; Kotter, 1996; Pettigrew & Whipp, 1991). Grounding of the expansion plans in unchanged missions and values of the organizations enabled leadership to effectively communicate, to varying degrees, the purposes and particular approaches to its constituents in ways that made sense, and capitalized on the schools' strengths to grow and fill niche markets. A second clear theme of the expansion plans at the three schools included the transformation to coeducation or coordinate, and the addition of grade level divisions that offered opportunities for growth, but not without challenges to long-held traditions.

For School 1, the HAIS/WASC accreditation and consultant-led strategic planning process provided the mechanisms to facilitate deep reflection on its founder's vision, which was to provide access to underserved populations in Hawai‘i. It also caused the school to re-acknowledge and affirm the school's mission, values, and century-and-a-half history of operating in the state. This process enabled the school to identify its strengths and opportunities for the purpose of mapping out a new vision for growth and fiscal sustainability (Aldridge, Asato, Cramer, & Lindsay, 2015, Nov.; HAIS & WASC, 2014, Nov.). The result was a plan for a K through 5 boys division, but also curricular innovations in the form of a number of signature programs facilitated by community partnerships that aimed to fill niche markets. Though Schools 2 and 3 did not engage in formal strategic planning processes to facilitate their organizational expansions, each similarly rooted them firmly in the mission and values of their faith-based traditions.

All three schools were firm in that their missions did not change because that was where the opportunities were for growth and sustainability, and importantly, clarity of purpose. Traditionally, School 1 has served middle-class families and is considered a "step-up" school for families who have never attended independent schools, while Schools 2 and 3, have always been committed to serving children largely drawn from blue-collar workers and the marginalized, and interested in single-gender religious-based education. The three schools recognized and capitalized on the strengths within the organizations related to the skills and talents of its members. So for School 1, this included the strengths of an experienced, strong internal leader in the head of school and the combination of a board chair and vice-chair who had backgrounds in education and finance, respectively to confidently steer the institution into safer waters. Similarly, the much-experienced school heads and boards at Schools 2 and 3, provided their respective institutions assurance and capacities to steadily expand. At School 2, traditional curricular strengths in ESL and world languages complemented board strengths and parental connections with community parks helped facilitate a strong sports and athletic program that rapidly filled niche market needs. The geographic location of School 3 and distinct identity of providing socio-economically disadvantaged children with a strong academic program that is faith-based were strengths that met niche demands of convenience and affordability amid turbulent economic conditions, increased traffic congestion, and dual-working parents. At each school, the key was leadership's ability to ground the expansion plan in historical values and principles that matched the institutional strengths to niche market opportunities in practical ways and made sense to the internal and external communities.

Manage resistance while supporting staff through retraining and hiring. Across the three schools, the heads' announcements of expansions, both first- and second-ordered changes

of adding divisions and becoming coeducational or coordinate, encountered resistance of varying degrees that required leadership to address naysayers and lead through the opposition (Corbett et al., 1987; Evans, 1996; Kanter et al., 1992; Kotter, 1996; Lorenzi & Riley, 2000; Marzano et al., 2005; Watzlawick et al., 1974; Woodman, 1993). At the same time, the school heads supported the expansion processes by providing instructional training, appointing new positions, and encouraging a culture of flexibility (Bolman & Deal, 2013; Kanter et al., 1992; Kotter, 1996; Leithwood et al., 2008; Pettigrew & Whipp, 1991). However, when appropriate, they also recommended that faculty depart the schools if they could not make the transition professionally or adjust personally.

Leadership among the three schools was firm but understanding with faculty in the expansion processes that resulted in transformational changes in the organizations. The more authoritative leadership style adopted by all school heads meant that faculty and staff understood that they needed to be either on-board with the changes, or at least willing to make attitudinal and instructional adjustments to adapt to the new culture and requirements (Evans, 1996, 2010). Common to all three experiences was the use of outside experts to provide professional training related to technical and affective aspects of instruction, culture, and behaviors in coeducational school environments appropriate to the expanded grade levels and genders. At School 3, for example, this training was conducted by experienced, female faculty from a consortium of coeducational and single-gender, all-girls religious schools on the U.S. Mainland, who fine-tuned the workshops for faculty and students to explain methods and practices that supported welcoming learning environments for girls within the specific religious context of School 3. The head of school at School 2 supported the expansions through a multi-pronged approach of offering faculty workshops on multi-age learning and teaching in coeducational environments,

capping class sizes, and introducing improved technologies to assist faculty with instruction. To support the process, school heads restructured their administrative teams and created new administrative positions in addition to hiring new faculty. At School 1, the head of school created a new directorship position for the boys division, K through 5. Likewise, at Schools 2 and 3, newly created dean and counselor positions supported students and faculty by meeting newfound needs. By promoting collaboration and cultures of flexibility rooted in the school missions, leadership consistently reminded faculty to be tolerant and understanding with regard to the new students entering the schools, who may not have seemed academically or behaviorally mission-appropriate at first. This was especially true for Schools 1 and 2. In those cases where faculty and staff were unable to change, the school heads were at first tolerant and supportive, if surprised, but then encouraged the employees to find work elsewhere. For example, at Schools 1 and 2, there were a number of faculty who left the schools during the expansion processes. One head of school was even blamed by a member of the organization for "destroying" the school and faced an attempted coup organized by faculty.

The greatest form of resistance to expansionary change for all schools was external to the organizations and came from alumni who were opposed to coeducation or the appearance thereof in the form of a coordinate system. Leadership at each of the schools overcame this formidable resistance in two ways: continual and consistent engagement through communication, and education of accurate information to dispel rumors and misinformation (Kanter et al., 1992; Kotter, 1996; Kotter & Schlesinger, 2008; Leithwood, 1992). This strategy was accomplished through the collaborative efforts of school heads, administrative teams, and board members who held many meetings with community members throughout the processes, starting from even before the expansions began and continued into the first years after implementations.

Celebrate early successes and unanticipated positive outcomes to build momentum. The strong, positive responses to the expansions, especially among the communities of Schools 2 and 3, represented in the rapid and sizable increased enrollments and acceptance by alumni, faculty, and families, built confidence, excitement, and momentum in the processes that were recognized and celebrated as successes toward financial stabilization and institutional sustainability (Bolman & Deal, 2013; Evans, 1996; Kotter, 1996). Moreover, the challenges that accompanied the processes were likewise recognized and appreciated for bringing the communities together in a more purposeful, collaborative fashion and prompted the schools to re-examine their assumptions and challenge the status quo, which led to self-improvement at the individual and organizational levels.

For example, as pioneers of introducing the state's first coordinate system, School 1 celebrated its first year's successes in overcoming historic and cultural barriers, which brought excitement and momentum to the organizational change process. The school also celebrated the expansion's unanticipated outcomes of improved relationships, understandings, and self-improvement in instruction, leadership, collaboration, and sense of purpose at the individual and organizational levels by questioning its "business as usual" operation as a 150 year-old all-girls school.

Schools 2 and 3 celebrated the unanticipated and sustained increases in enrollments that quickly resulted from the expansions. At every opportunity, the leadership at Schools 2 and 3 took advantage of media exposure, marketed strongly, and communicated via interviews the positive results. The active, frequent, and transparent communication were ways that the schools were able to build excitement and momentum for the changes. In particular, both schools expressed surprise and delight at their respective successes as they are not among the several

large independent schools in the state and therefore, generally not at the top of the "pecking order" with regard to competitive admissions in Hawai'i. Nonetheless, where School 2 once had 270 students, it now was on track to reach its goal of 600 students before 2020. Similarly, School 3's enrollment jumped in three years from under 400 to nearing 700.

The expansions also helped reframe attitudes about the expansions among alumni, boards, and faculty who may have been apprehensive or even adamantly opposed to the changes, especially with regard to coeducation. All three schools also realized increases in enrollments, improvements in relationships and collaboration, expansions and enhancements of academic and co-curricular programs, and financial sustainability. However, School 3 experienced the smoothest transition to coeducation, even enjoying improved academic and co-curricular benefits with the addition of girls. For Schools 2 and 3, faculty were delighted at the increased quality and competition in the classrooms and athletic fields, celebrating recognitions for their respective sports programs in the interscholastic leagues of the state.

Common ways in which school cultures and external environments impacted leadership of organizational expansions. The school cultures and external organizational climates both challenged and assisted school heads in negotiating and leading the expansion processes. In these symbiotic relationships leadership at times informed the organizational cultures and external environments, while at other times, were informed by them (Burnes, 2004b; Cohen, 2007, Fall; Daft, 2010; Dawson, 1997, 2003; Deal & Peterson, 1990; Finch et al., 2010; Firestone & Louis, 1999; Kanter, 2010; Kanter et al., 1992; Leithwood & Duke, 1999; Louis et al., 1999; Pettigrew, 1997; Pettigrew & Whipp, 1991; Ropo et al., 1997; Schein, 1990, 2010).

The role of school head as leader of cultural and organizational change processes. Leadership's role in reshaping the school cultures was critical in the expansion processes among

the three schools equally. The desire for savvy, experienced, knowledgeable, and stable leadership represented in a capable school head whose presence could create confidence amid the stresses and strains of the expansions may have accentuated the organizational needs of School 1 in comparison with the experiences at Schools 2 and 3, but only by degree (Argyris, 1995; Argyris & Schön, 1974, 1978; Deal & Peterson, 1990; Evans, 2010; Firestone & Louis, 1999; Herr & Anderson, 2015; Humphreys et al., 2003; Jarvis, 1999; Lewin, 1946; Mintzberg, 1980, 1990; Nyíri, 1988; Osterman et al., 2014; Pettigrew et al., 2001; Piccini & Kershaw, 2003; Pogrow, 2015; Ryle, 2009; Schön, 1983; Yu, 2011). The three heads impressed upon faculty and staff the requisite dispositions and behaviors that could reshape the organizational cultures to unify members and successfully execute the expansions to achieve their goals.

Chief among these behaviors to reshape school cultures relate to trust, collaboration, and flexibility. Before beginning the expansion processes at School 1, the head first purposefully engaged in "human repair work" to heal the school, which "needed to be loved and nurtured." The combination of the previous leadership instability and the acknowledgement that what had once been a successful and proud educational institution in Hawai‘i was ailing and in danger of closing had left faculty and staff disaffected and disillusioned. By breaking down the "silos of fear" and promoting trust, collaboration, and flexibility, the head of school reshaped the existing culture into one that promoted positivity, high-energy, and innovation. Importantly, the head re-established the faculty and staff's confidence in the leadership of the school. Where employees were not open to change, the heads at all three schools guided them out of the organizations and hired individuals who were "ideas people," innovative, collaborative, and embraced the new cultures. Together, experienced leadership embodied in the heads of school, and their actions, promoted excitement and hope for renewed visions of the schools made possible by reaffirmed

beliefs in their histories and missions from which the expansions were rationalized and marketed as natural extensions.

The school expansions required dispositions attuned to the missions of the schools and leadership's keen understandings of those missions in order to reshape the organizational cultures (HAIS & WASC, 2014, Nov.; Aldridge et al., 2015). Whereas School 1 underwent an HAIS/WASC accreditation and strategic planning process to collectively rediscover and re-identify its mission in light of the expansions, the heads of Schools 2 and 3 played key roles in preserving much of their well-defined mission-centered cultures inspired and personified by their namesakes and established in college-preparatory, faith-based communities of learning that purposefully served less advantaged socio-economic markets. For example, at School 3, the president deeply understood the mission having served the organization in various capacities over 30 years including as a parent of an alumus, board member, chair of the board, and president. Similarly, School 2's head understood the mission as an alumna, author of the school's mission rewrite in the 1990s, and long-serving leader of the organization. It was important to the school heads that the identities, missions, and cultures of the schools largely remain unchanged. Valuing intimate, friendly, and safe school environments, the three heads sought to sustain their school cultures by intentionally maintaining lower student to teacher ratios that would result in environments with a "small-school feel." For example, it was important to the heads that the faculty knew each student by name as a way of preserving the cultures and differentiating the schools from competitors.

With the acceptance of boys at Schools 1 and 2, the heads were required to address faculty pushback in response to what they perceived as the admission of non-mission appropriate students, which threatened traditional academic, instructional, and cultural norms. As mentioned

previously with School 1, leadership emphasized faculty innovation, flexibility, and collaboration by having them focus on the broader meanings of their respective missions, visions, and traditions. At School 2, the head further safeguarded the school's reputation in the community for quality academics when concerns grew that it had become a "jock" school ever since the admission of boys and its newfound athletic successes. Whereas at School 3, the addition of girls resulted in minimal negative perceptions in the community and required no specifically related measures by the president to ward off actual or potential threats to the organization's reputation.

As means to support positive attitudes and behaviors, and thus shape healthy school cultures, the school heads created specific faculty positions to tend to student and faculty needs. For example, at School 2, one new position was responsible for helping to facilitate student activities, school assemblies, and student government. Other ways that the heads of Schools 2 and 3 supported students and teachers were by creating administrative positions such as deans of students, counselors, and medical personnel. The head of School 2 even implemented an incentives program with financial rewards for faculty and staff to maintain and promote a more engaged community as the school grew (Evans, 1996; Kotter, 1996). To help ameliorate the impacts on school cultures and constituents resulting from the dramatic changes due to the expansions, the heads of Schools 2 and 3 planned for gradual expansions that would integrate the new gender and divisions year-by-year. However, all three heads targeted inclusivity, collaboration, and flexibility to promote positive, accepting, and joyful learning environments.

The roles of faculty and students as informal leaders in cultural and organizational change processes. The faculty and students both facilitated and challenged formal leadership efforts in the school expansion processes by functioning in informal leadership roles (Brooks,

1996; Pettigrew & Whipp, 1991). In helping to facilitate the organizational change processes, students and faculty participated in a bottom-up leadership fashion, modifying and creating new traditions, ceremonies, and symbols (Bolman & Deal, 2013; Brooks, 1996; Evans, 1996; Firestone & Corbett, 1988; Kanter et al., 1992; Leithwood, 1992; Pettigrew & Whipp, 1991). Challenges to leadership predominantly emerged from faculty whose behaviors frustrated expansion efforts, though sometimes forced deeper thinking for positive end results.

The students and faculty participated in some of the internal changes at school with regard to actual implementation of the expansions that shifted the leadership style from a more top-down, authoritative, and transactional approach, to one that was more participatory, distributive, and transformational (Bolden, 2011; Crawford, 2012; Estler, 1988; Goleman, 2000; Hallinger, 2003; Leithwood, 1992, 1994; Sendjaya & Sarros, 2002; Spillane & Orlina, 2005; Spillane, Halverson, & Diamond, 2001; Stone, Russell, & Patterson, 2004). Across the three schools, students and faculty played active roles in the preservation, reinterpretation, and creation of cultural traditions, ceremonies, and symbols. For example, the friendliness of the three schools' traditional students helped welcome new families and students to the campuses and was deemed critical to the expansion successes. The preservation of the pre-existing school culture of volunteerism also played a key role in the expansion success at School 3, where girls immediately embraced and demonstrated leadership roles in academics, athletics, and student government, clubs, and organizations. Modifications of long-practiced ceremonies and traditions offered additional opportunities where students actively engaged in helping to reshape school cultures. When faced with the challenge of modifying a cherished welcoming ceremony at School 1, the female high school students proposed a simple yet respectful solution that included the young boys, which was immediately adopted by the head of school to some veteran faculty

members' chagrin. Similarly in Schools 2 and 3, the students made recommendations regarding the modification and creation of traditional school ceremonies such as leadership rituals and graduation, as well as uniforms for school, athletics, and graduation attire. For these two schools, students and faculty also contributed to the determination of logo attire and mascots. The informal leadership roles of the students and faculty helped galvanize engagement and form buy-in to the expansion processes.

On the other hand, challenges to leadership of the expansion processes predominantly emerged from veteran faculty unwilling to break with tradition and pre-existing cultures, or individuals unwilling to innovate in the classrooms. By resisting change these faculty members acted as informal leaders who challenged formal leadership and balked at learning new approaches to teaching more diverse students, particularly those of mixed-gender and wider ranges of abilities. These informal leaders predominantly frustrated the organizational change processes at Schools 1 and 2, and resulted in direct confrontations challenging the authority of the school head, as well as faculty departures and residual animosities. However, at School 3, faculty largely supported the expansion processes, embracing them as solutions to an urgent, existential problem. Nonetheless, without exception, faculty at each of the schools either explicitly or implicitly pin-pointed a gap related to cultural change that remained for leadership to fill. Faculty expressed the need for formal or informal leadership to hold a transitional ritual both to mourn the cultural losses and celebrate the tangible and intangible gains in the institutional transformation created by school expansions (Bolman & Deal, 2013). This represents an important lesson for leadership to neither underestimate nor undervalue the importance and conservative nature of organizational culture and assistance required to help members make new meaning of the institution (Brooks, 1996; Corbett et al., 1987; Evans, 1996;

Finch et al., 2010; Firestone & Corbett, 1988; Schein, 1992). For some, the expansions were akin to a simultaneous death and birth in the family. Consequently, the cultural changes continue and residual animosity exists. Again, for Schools 1 and 2, there were more frequent and deeper expressions of loss and sensitivity to the expansions principally due to the transformative changes that resulted in perceived losses in the historical meaning of the schools, but also at the personal level with the decrease in quality and quantity of relationships due to the increase of students and faculty on campuses. For example, at School 2, the expansions resulted in the unanticipated loss of intimacy and camaraderie among faculty. Despite the challenges to leadership at Schools 2 and 3 by informal leaders, there were sincere and deep expressions of love and respect for the institutions and what they mean historically, presently, and in the future. At School 2, veteran faculty expressed a sense of duty to remain in order to preserve the culture, traditions, and spirit of the school in honor and memory of the members of the religious servants of God who are retiring and not being replaced by their consortium.

Organizational climate and leading change. The external environment for the three schools played a critical role in the expansion decisions and implementations that challenged and provided opportunities for leadership (Kanter et al., 1992; Leithwood & Duke, 1999; Louis et al., 1999; Pettigrew & Whipp, 1991). Macroeconomic forces, shifts in market demographics and preferences, community partnerships, and alumni relations were among the principle factors that informed leadership practices in the organizational change processes.

Common to the three schools in their expansion decisions were the impacts of the Great Recession of 2008 and shifts in factors related to demographics and family preferences. Leadership among the three schools indicated that the Great Recession hurt the ability of their traditional families to pay fees, and kept away potential families from applying. Later, however,

the Great Recession did help Schools 2 and 3 with their expansion implementations as closures at other independent schools resulted in those families discovering affordable and convenient alternatives with them. Nonetheless, the Great Recession combined with Hawai‘i’s geographic isolation and high cost of living posed increased challenges for the heads to attract, retain, and fairly compensate high quality teachers at already financially strapped schools (Cohn, 2016, July 11; Gould, 2015, June 30). The financial constraints coupled with shifts in demographics and preferences were additional factors that impacted leadership decision making. For example, the decline of parochial schools nationally (CAPE, 2012, March) and locally (HAIS and HCPS Private School Enrollment Reports, 2007-2016; See Figure 1 & Table 1, Chapter 1) combined with the growing preference for convenience contributed to the trends that informed leadership’s decision making. The ability for families to drop their sons and daughters off at one school rather than multiple destinations improved convenience amid increasingly lengthy and stressful commutes due to traffic congestion. These shifts along with important changes in the Hawai‘i public school system provided opportunities for school heads to seize. The freedom of Hawai‘i public junior high school principals to autonomously adopt the middle school model that was promoted by the state’s Board of Education approval of policies (State of Hawai‘i BOE, 2015, May 19; State of Hawai‘i BOE, 2016, June 7) had ripple effects in the independent school community and assisted the heads of Schools 1, 2, and 3 with the implementation of their expansions. For example, the grade level changes of elementary schools to K through 5 and middle schools to 6 through 8 in the neighborhoods surrounding School 2 resulted in its addition of a 6th grade in 1989, and increased enrollment interest in 2007 and 2013, when two public elementary schools converted and some parents did not want to send their children to the designated public middle schools.

The alumni represent a critical factor in the external environment that impacted the school expansion decision making and implementation processes, and required attentive monitoring, communication, and interventions by all school heads. While the school heads faced firm resistance by alumni, the opposition to coeducation at Schools 1 and 2, in particular, was staunch and required ongoing efforts by leadership to overcome. The alumni viewed coeducation as direct threats to the histories, traditions, and cultures of the schools that necessitated the head of School 2 to hold meetings over multiple years in order to convince the opposition that the changes were necessary and good for institutional sustainability. Though the timeline at School 1 was much shorter due to the urgency, alumni were equally resistant and vocal, which leadership likewise addressed with meetings, inclusion, and engagement with the processes. Lingering resistance remains among alumni who are nostalgic for the era when the schools were all-girls. Initially, the experience at School 3 was similar to Schools 1 and 2 in that the alumni represented its "biggest challenge" to the organizational changes, but after implementation, the alumni quickly turned into their biggest promoters of the expansions in the community, and were proud to send their daughters to their alma mater. Nevertheless, the challenge to win over alumni and the broader community proved challenging to all three school heads.

At School 1, the differences of being an "outsider" to Hawai‘i and introducing a completely new educational model provided the head of school with additional hurdles to overcome. The school head needed to persuade the governing board and broader community of the merits of the coordinate school model but felt the geographic isolation hampered their perspectives and swift understanding. The continuing misunderstanding by School 1's constituents and broader community that it is coeducational rather than coordinate demonstrates the critical role that culture plays in executing strategy (Bolman & Deal, 2013; Corbett et al.,

1987; Deal & Peterson, 1990; Evans, 1996; Finch et al., 2010; Hallinger & Heck, 2002; Kotter, 1996; Louis et al., 1999; Schein, 1990, 2010). The head of School 1 cited the maxim, "culture eats strategy for breakfast," attributed to business guru Peter Drucker, which acknowledges that "culture constrains strategy" (Schein, 1992, p. 382). By persistently communicating with and engaging alumni and other school constituents, the school head sought to overcome resistance and provide consistent and accurate messages. Doing so, the heads helped facilitate a smoother expansion process and helped to not only reshape school cultures, but also reaffirm their respective identities, which were critically important to alumni and constituents. The heads also extinguished rumors and misinformation that hurt the expansion efforts.

Community partnerships in the external operating environment provided the three schools opportunities that helped facilitate the targeted expansions, but also enhanced services provided to students and their respective communities (Daft, 2010; Finch et al., 2010). One way that this occurred is through foundation monies that financially supported curricular and co-curricular programs at each school. For example, School 1 received multi-year funding to support its signature academic and career programs, School 2 was awarded grants to build an on-campus pool for its co-curricular programs as well as for a community swim club's use, and School 3 benefited from charity funds that supported indigent children of single-parent households by covering tuition, counseling, and school supply expenses. Other community partnerships helped facilitate the expansions by enhancing school program offerings and countering negative neighborhood impacts due to the organizational changes. At School 1, partnerships allowed for its students to take classes at a local university in exchange for the university's use of its gym. Similarly, School 1 was able to partner with local businesses, law firms, and a hospital for its students to have internships during the school day. Through community partnerships, School 2

was able to establish a football team and negotiate the use of a nearby public park as a practice field. Similarly, over the course of a couple of years School 2 negotiated a formal agreement with a neighboring university to alleviate traffic flows and improve community relations with neighborhood residents. In these ways, the organizational climate played critical roles in both challenging and assisting school heads in their leadership of the school expansion processes.

CHAPTER 5. FINDINGS, IMPLICATIONS, & CONCLUSION

Inspired by the vision, mission, and endeavors of the Polynesian Voyaging Society and the Mālama Honua Worldwide Voyage of the Hōkūleʻa and Hikianalia waʻa (canoes), this chapter reflects, by way of metaphor, on the journeys of the study's participants and that of the researcher in the exploration of leadership of independent school expansion. In doing so, the researcher takes a more personal tone in this chapter, which revisits the study's purpose and presents a summary of the findings to the research questions. The chapter then examines limitations of the investigation, and implications of the study for participant schools, their leaders, and the researcher's own professional practice. The report suggests future research possibilities and concludes with final remarks of the exploratory study and journey.

Findings

In the previous chapter, the researcher addressed the study's primary questions by providing a detailed cross-case analysis of the multi-site experiences of the expansion processes at three independent schools in Hawaiʻi. Below, the researcher revisits the problem and purpose of this study and briefly summarizes key findings of the investigation.

Problem and purpose. For nearly half a century, the Polynesian Voyaging Society has been rediscovering the science and art of traditional open water navigation. This rich knowledge, though nearly lost to Hawaiʻi, is deeply embedded in a region with over 2,000 years of native understanding and preserved in master navigators whose own life journeys exemplify the "exploration, courage, and ingenuity" required of leadership (Polynesian Voyaging Society, 2017, para. 2). Much like these master navigators in whose knowledge and experiences are entrusted the lives of fellow crewmembers on their vessels, the heads of school and board members of this study were faced with serious and impending problems of institutional

consequence whose multiple and layered complexities informed their decision making and execution of their respective school expansions. As leadership of major organizational transformations is well understood to be challenging and ends in failure more than 70% of the time (Beer & Nohria, 2000; Kotter, 2016), what are the lessons for independent school leaders from those who have successfully negotiated and led the process of school expansion? The limited research literature specifically on school expansion in the contextual setting of Hawai‘i prompted an opportunity for the investigator to examine the unique experiences at three independent schools in the state. Thus, this qualitative case study sought to explore how independent school leaders in Hawai‘i negotiated and led the process of school expansion in order to understand factors and practices that influence this organizational change. The researcher examined the intersects of leadership approaches, organizational climate, and the operational environment at three independent schools in Hawai‘i to discover rationales for school expansion and effective organizational change processes.

Summary findings. Like the Polynesian Voyaging Society that has pursued understanding of the art and science of traditional navigation practices through master navigators, the researcher connected with three expert independent school heads to investigate exploratory questions that could potentially chart the course of effective principles and practices for leaders when pursuing independent school expansion. The emphasis on the art and science of effective practices and principles rather than “best practices” (Patton, 2011, p. 168) mirrors the requisite contextual understanding by master navigators that the same waters do not pass alongside the wa‘a twice. In other words, though similar situations may present themselves to leaders, decision making is never context free. A new destination requires careful study of the environment, thoughtful interpretation of the elements, situationally appropriate adaptation to the waters, and

cautious application to the intended course and vision. The following questions aimed to begin to steer the study towards these understandings:

- What factors prompt independent schools to expand?
- By what processes do independent schools facilitate organizational change?
- In what ways does school culture or climate affect the organizational change process at independent schools?
- What role does the operational climate play in leading school expansion processes?

As a navigator confirms the accuracy of his navigation by arriving at his intended destination, the researcher confirmed suspected responses to some of the research questions through the individual case studies and cross-case analysis. The investigator also discovered revelations and new areas to consider, similar to how navigators encounter new, uncharted lands. For example, in examining the question, "What factors prompt independent schools to expand?," the researcher confirmed personal suppositions that non-sustainable finances, in part, caused by the Great Recession of 2008 and declining enrollments were important. This corroborated the national trends of declining enrollment, demographic shifts, and increased competition among single-gender, faith-based schools and independent schools in general. However, it was surprising to discover that the weak economy also helped curb enrollment declines at one point for two of the schools. It was also surprising that the school heads' decision making uniformly concluded that expansion was the primary solution. Moreover, it was unforeseen how relatively small the endowments were at the three schools considering that the youngest was 50 years old and the oldest was nearly 150 years old. In the absence of reserves, leadership at each of the independent schools uniformly saw expansion as a viable means to re-vitalize the organizations and ensure institutional sustainability.

When the founding members of the Polynesian Voyaging Society met with master navigator Mau Piailug in the 1970s to learn about traditional, open-ocean wayfinding methods, they were seeking questions related to "How?" Similarly, the researcher of this study spoke with participants to learn, "By what processes do independent schools facilitate organizational change?" Through their accounts, the researcher discovered unique journeys at each of the three independent schools that were instructional in their own right. Together, their individual voyages into institutionally uncharted waters revealed shared experiences navigating their daunting journeys that were inspirational and edifying. Amidst the layered challenges and numerous uncertainties, leadership prioritized business-oriented dispositions in their approaches to remedy non-sustainable enrollment numbers, weak finances, and competition. They did so by developing expansion plans rooted in clear understandings of their institutional purpose and demonstrated in their unique identities and long histories. These leaders also built upon the organizational strengths and market opportunities that included the forging of community partnerships in the immediate operational environment as well as beyond. Notwithstanding, school heads encountered buffeting waves of internal and external resistance of expansion efforts by naysayers, but led through the opposition by adopting a more authoritative, albeit flexible, leadership style. School leaders supported staff and constituents through open and frequent communication, timely and relevant education and training targeted to specific audiences, and creation of additional positions to buoy the anchors of increased responsibilities and stresses assumed by all. By encouraging collaboration, instilling a shared sense of purpose and responsibility, and by adopting a firm but flexible approach, school heads were in positions to celebrate with authenticity the early successes that filled the organizational sails and thrust the expansion processes toward achievement of financial stabilization and institutional sustainability.

Cultures, and worldviews informed by them, can help and challenge leadership efforts in achieving organizational goals. Following Hōkūleʻa's initial leg of the round-trip voyage from Hawaiʻi to Tahiti in 1976, master navigator Mau Piailug returned home to Satawal early due to serious conflict that erupted onboard among crewmembers. This conflict was embedded in cultural worldviews and resulted in differences of opinion of the mission and vision of the voyage (Finney, 2017, Hawaiʻi to Tahiti and Back section, para. 3, 7, & 8). Similarly, school cultures may be strong, conservative, and challenging to lead, especially when there are differences of opinion on the future of the organization that are deemed to threaten the very identity and mission of the institution. By asking, "In what ways does school culture or climate affect the organizational change process at independent schools?," the study attempted to determine the role culture played in the expansion processes. In leading the school expansion processes at the three independent schools of this study, school heads both shaped and were shaped by organizational cultures symbiotically (Deal & Peterson, 1990; Schein, 2010). Whether it be a master navigator or head of school, the leader plays a role in shaping the culture of the crew members who entrust their lives and livelihoods, as well as the safety of the waʻa or school in them. Members of the three independent schools desired experienced and knowledgeable leaders with genuine intentions, and competencies to ensure safe transformations to renewed versions of their respective schools. Through their presence and commitment to authenticity in the organizational transformations, the leaders shaped school cultures and inspired confidence in the course charted amid the storms of change. As it takes a crew to effectively sail a large canoe in the open ocean, the faculty and students also served as informal leaders in shaping the cultural and organizational change processes at the schools. In this way they both challenged and helped facilitate organic and authentic changes that were more likely to stick and succeed.

As vessels navigating in the open ocean, the Hōkūleʻa and Hikianalia are subject to environmental conditions that the master navigators adapt to in order to safely steer their waʻa and crew to their destinations. The leaders of the three independent schools similarly adjusted to the dramatic circumstances facing their institutions within the competitive operational environment of Hawaiʻi. In this study, the researcher sought to determine, "What role does the operational climate play in leading school expansion processes?" The researcher found that the external operational environment played a critical role in the expansion decisions and processes to implement the school expansions. These both helped and hindered leadership efforts to sustain their schools and principally came from a range of macroeconomic forces and shifts in market demographics to community partnerships and alumni relations. Like the Hōkūleʻa and Hikianalia, the independent schools required leadership savvy to read and find opportunities in the external operational climate in order to successfully achieve the organizational changes and secure institutional sustainability.

The findings of this study thus show that the circumstances and contexts of independent school expansion reflected leadership of a systems-level change that can be described as both "punctuated" (Gersick, 1991; Romanelli & Tushman, 1994) and "continuous" (Louis, 1994; Peters, 1997a). Its leadership was also "adaptive" and "emergent" to adjust to complex, unpredictable environments (Dawson, 1997, 2003; Jones, 2013; Pettigrew, 1997; Ropo et al. 1997; Sungaila, 1990).

Limitations of the Study

The findings of the three cases of this study suggests that successful school expansion at independent schools in Hawaiʻi is a product of leadership at the intersect of organizational climate and operational environment. The research questions were answered and the study's

purpose fulfilled. Nonetheless, research studies inevitably have limitations. Following are the researcher's reflections on these limitations.

The product of this research investigation reveals several limitations. Firstly, the case studies were limited to three schools. Although saturation of the data was achieved among the cases, a larger sample size would have provided a greater range of experiences to enrich the data analysis and, therefore, inform the study's findings. Secondly, the researcher is an alumnus of one of the schools in the study, though he graduated over 25 years ago. This created some degree of an "insider" perspective for the investigator and research study. To mitigate researcher bias on the conduct and conclusions of the study, the investigator took appropriate strategies typically followed in formal studies. These include data triangulation, data trails, member checks, reflexivity, and multiple peer reviews. A third limitation is that interview data was self-reported by participants to the researcher, who served as the primary instrument of data collection and analysis. In this type of study, the possibility exists that participants may have responded to interview questions to state what they thought the researcher wanted to hear. Alternatively, participants may have censored their responses for fear of public discovery of their identities. The researcher took steps to mitigate these potential limitations through peer review of the interview protocols, acquiring Institutional Review Board (IRB) approval to conduct the study, creating coded transcriptions, and ensuring anonymity to all research participants and institutions involved. Lastly, the findings of this study may be limited to independent schools as their contexts are unique among broader school circumstances, whose operations are principally tuition-revenue driven.

Implications

As with any exploratory journey or study, the individuals and groups involved encounter circumstances that may lead to new discoveries and knowledge resulting from the intersect of experience and thought. Fresh associations, inferences, and assumptions emerge from and because of the challenges and successes along the way. Below, the researcher presents implications of the study's findings expressed as general principles and insights for school participants, school leaders, the researcher's own professional practice, and future research.

School participants. Like the great worldwide voyage of Mālama Honua, the school expansion process proved to be uniformly arduous at the organizational and individual levels for all participants in this study, and filled with experiences from which to learn and grow. Dewey (1916) elaborates of such journeys,

> Experience as trying involves change, but change is meaningless transition unless it is consciously connected with the return wave of consequences which flow from it. When an activity is continued *into* the undergoing of consequences, when the change made by action is reflected back into a change made in us, the mere flux is loaded with significance. We learn something. (p. 139)

The differences in the personal experiences of the transformative organizational changes varied widely across and within the schools. It was invigorating and exciting at best; a much needed break of a new dawn and safer waters for the institutions and individuals to sail. At worst, it was challenging and threatening to the schools and their members, resulting in great symbolic and personal losses. Regardless of the individual experiences of participants, the collective understandings suggested that the journeys required and tested the members' capacities for flexibility, collaboration, understanding, and sacrifice in order to achieve successful

organizational expansions that could potentially provide for increased enrollment and financial security for the schools. The processes also suggest that there is great need for and benefit from informal leadership among faculty and students to help reshape school cultures and make new meaning of symbols, traditions, and ceremonies. Moreover, the findings suggest opportunities and benefits for independent school leaders to strengthen collaborative efforts and team building at the organizational levels. These efforts may result in improved academic and athletic programs, and healthier organizational climates, but first requires school cultures motivated to learn from experience.

School leaders. The story of the Hōkūleʻa is one "of survival, rediscovery, and the restoration of pride and dignity," as well as one "of a society revaluing its relationship to its island home" (Polynesian Voyaging Society, para. 1). In many ways, this was also the story of the independent schools in this study. Each faced an existential crisis, rediscovered clearer understandings of itself, and restored pride and dignity in the institution. At the study's heart was the story of how and why independent school leaders re-*valued* their institutions in relationship to their constituents and communities in a competitive marketplace for highly qualified student applicants and staff. Therefore, among the researcher's intended key outcomes of the study was the uncovering of tangible, useful findings that would have implications for professional leadership practice among independent schools negotiating and leading school expansion in Hawaiʻi.

The findings imply that mechanisms for leading independent school expansion relate first and foremost to human dimensions and that those dimensions, cultural or organizational, are important considerations when undertaking significant organizational expansion processes such as the addition of a gender to campus. Moreover, these implications may extend beyond just

school expansion to encompass a broader framework of organizational change and be valuable for school leaders interested in carrying out any second-ordered or megachanges in an organization. However, school leaders would be cautioned to focus on a recipe of steps or technical aspects alone that address, "How?" Leithwood, Harris, and Strauss (2013) explain,

> Effective leaders know that the work of turning around a school and taking it to the highest level of performance is predominantly emotional work. . . . so the need to nurture, develop and strengthen relationships is at the very core of what good leaders do. (p. 261)

Trust takes time to develop and the organizational change process is easier if it is firmly in place prior to the start of significant change. As each school represents a unique context, and "meaning exists only with reference to a context" (Dewey, 1916, p. 270), the process is not about one approach or a particular model or theory of action that is effective across all contexts. It would be naïve for leaders, particularly at older, established institutions to underestimate the magnitude and layers of these complexities. Therefore, in suggesting implications and recommendations, the researcher acknowledges the wisdom of Lotfi Zadeh, the father of fuzzy logic, who stated, "As complexity rises, precise statements lose meaning and meaningful statements lose precision" (as cited in Leithwood & Duke, 1999, p. 46). As such, one principle that leaders of independent schools and organizations in general, should consider when motivating organizational members for organizational change is to tap into the limbic, or emotional, brain to address "Why?" (Fullan, 2006; Medina, 2008; Sinek, 2009, Sept.). Another principle implied by the findings point to the need of school leaders to be able to clearly and repeatedly explain rationales and processes to their school communities confidently. This would assist organizational members in the required transitions from the organizational change processes due to the school expansions. Because *change* is "external," "situational," and "event-based" and *transition* is "internal,"

"psychological," and "experiential-based," implications of this study suggest that unless school leaders are able to help people transition, change will fail (Bridges, 2003). The lingering feelings expressed by faculty members at School 1 underscore the relevancy and apparent truth to this implication.

Nevertheless, the findings of this study revealed that like the master navigators, the heads of school employed techniques and demonstrated patterns of approaches to their crafts to successfully steer their institutions through difficult changes. These patterns serve as useful principles for school leaders when embarking on an expansion process. Many of the process elements of these experiences are reflected in organizational change theories found in the extant literature, which suggest awareness and understanding of them may help independent school leaders who are considering organizational change. These include those of Lewin's (1947) classic theory of change as a three stage model, Pettigrew and Whipp's (1991) "Five Central Factors for Managing Strategic & Operational Change," Kanter, Stein, and Jick's (1992) "Ten Commandments for Executing Change," and Kotter's (1996) more recent model, the "Eight-Stage Process for Creating Major Change."

At least of equal, if not greater, value and importance to the study's key findings was that school leadership practice reflected personal theories of change. This was corroborated by the research literature and experiences of the study's participants. Rather than independent school leaders identifying or consciously following a particular model or theory of organizational change found in the research or popular bodies of literature to transform the institution through expansion, it was practical knowledge acquired through experience that informed personal theories of action and propelled the school expansion processes forward (Chait, Ryan, & Taylor, 2005; Jarvis, 1999).

Findings of this study also suggest the critical importance of trust and experience in school leaders who have the capabilities, or savvy, to motivate and build organizational capacities for transformative change (Covey, 2006). School leaders may consider developing leadership structures that support and accommodate emerging leaders, whether they be formal or informal, to help facilitate the organizational change process and help make new meaning for the school. The findings of the study imply that the benefits in the quality and quantity of collaboration among the organization's members improved the overall quality and value of the school's program offerings, climate, and effectiveness. The sustainability of the institution, in part, may be attributed to these collective efforts and improved changes.

When the master navigators of Hōkūleʻa and Hikianalia cross hemispheres or enter different seas in their worldwide voyage, they adjust to the winds, waves, and stars necessarily in order to adapt to their new environments and arrive at their destinations. This interplay between master navigator and the environment reflected an important factor among the independent school heads in leading organizational expansions. The macro and micro developments in the external operating environment impacted the ability of school leaders to sustain their schools, but school leadership also shaped this environment. Their negotiation of risks and rewards of different forms of expansions, partnership building in the community, modifying admissions and personnel, and repositioning their institutions in relationship to their constituents all influenced the transformational organizational changes.

Another implication related to the interplay between context and leadership of school expansion points to the potential transferability of the findings to new environments. The researcher recommends that school leaders interested in adapting the findings of this study for organizational change through expansion do so if and only when it makes practical sense, and

that these approaches and processes be adapted to their own contexts. The researcher trusts that the findings are credible in that they represent the experiences of the three schools of the case study, and that they are dependable in that the results are consistent with the data collected and supported by a data trail. The researcher also believes that elements of the findings have the potential of transferability to new contexts insofar as leaders utilizing them understand that the general lies in the particular and that universals can be derived from the particular through extrapolation, contextualization, and wise application. In short, the reader of this study should ask, "How is my context presented in this study's evidence and findings?"

Personal professional practice. The passages of Hōkule'a and Hikianalia in their world-wide voyages of Mālama Honua between the summers of 2014 and 2017 and that of my own simultaneous doctoral journey were filled with challenges and achievements that provided deeper insights, substantive growth, and inspiration to sustain the journeys. As I reflect on my experiences and professional practice, I am struck by how the words of master navigator, Nainoa Thompson, mirror my own thoughts when I embarked. Thompson (1980) states, "There's a world out here that I didn't know anything about until forced into it by my choices. Analytic thinking alone cannot bring understanding, and I'm glad of that" (para 15). In conjunction with my previous studies, the doctoral journey has played a significant role in my growth, but so were the rich discussions, experiences, and reflections shared with my colleagues and school leaders with whom I connected while conducting my group consultancy project and dissertation research. Together, the analytical and non-analytical experiences have contributed to improved understandings of the practices, roles, and responsibilities of an academic researcher, consultant, and school leader. In profound ways the journey has reshaped my worldview, deepened my respect for inspired decision making, and provided support for and confidence in practical

knowledge as a basis for developing personal theories of leadership action and professional practice.

Worldview. At the start of this report, I cited Toffler (1970), who successfully predicted in the 1970s so many of the complex and rapid changes occurring in our increasingly interconnected world, where knowledge- and meaning-making are critical to our sustainability. To help make sense of our worlds, we have bought into a universal knowledge of what works (e.g. What Works Clearinghouse) carried by a new tide of "big data" and analytic "algorithms," despite that scientific studies using high quality statistical analyses have been shown to be faulty (Pogrow, 2015). Context complicates this argument. In our rush to scale-up and generalize, knowledge building and dissemination frequently do not consider context. Who creates the knowledge? How is it produced? For what purpose? For whom? How is it legitimized? What does authenticity of voice mean? I have been reminded that knowledge-change happens in the particular, as William Blake poetically captured, writing his opening line to *Auguries of Innocence*, "to see a world in a grain of sand."

Over the course of the doctoral journey, my worldview evolved from one characterized by a more positivist, rational-scientific epistemology to one embracing a constructivist, hermeneutic framework, valuing qualitative designs to research, meaning-making, and transference of knowledge as deemed to be equally legitimate and significant. The works of Lincoln and Guba, Merriam, Yin, and Patton provided the rationale that opened my eyes to understanding the criteria to legitimize and establish confidence in methodologically sound research that can be quantifiably "valid, reliable, and generalizable," as well as qualitatively "credible, dependable, and transferrable." Master navigator Thompson (n.d.) explained of a

similar shift in his worldview and meaning-making after a significant experience onboard one of his voyages, writing,

> Before that happened, I tended to rely on math and science because it was so much easier to explain things that way. I didn't know how to trust my instincts. They were not trained enough to be trusted. Hawaiians call it na'au—your instincts, your feelings, rather than your mind, your intellect. (Wayfinding: Intellect and Instinct, para 6)

Dewey (1916) writes that this epistemological shift has significant and historic precedence concerning legitimacy of knowledge- and meaning-making. He explains,

> Appeal to experience marked the breach with authority. It meant openness to new impressions; eagerness in discovery and invention instead of absorption in tabulating and systematizing received ideas and "proving" them by means of the relations they sustained to one another. It was the irruption into the mind of the things as they really were, free from the veil cast over them by preconceived ideas. (p. 267)

This break away from "*a priori* notions" and universal principles of the seventeenth and eighteenth centuries to that of constructed, hermeneutic understandings created by experiences mirrored my personal break from preconceived understandings of leadership, decision making, and organizational change processes as specific courses charted out by rational-scientific epistemologies. The impact of this paradigm shift has informed my professional practice in critical ways related to perspectives and approaches to understanding problems and developing solutions as they relate to decision making, and personal theories of action when leading others in my professional practice.

***Decision making*.** Personally, one of the principle lessons that emerged for school leadership from the many conversations with the participants of this study was the absolute

necessity to make wise, conscious decisions daily for the health and sustainability of the organization. Each of the three case studies was of schools with long histories of providing quality educations to Hawai‘i’s children. However, significant change did not occur to address declining enrollments until urgency prompted leadership to act. Fullan (2013) writes, “The two greatest failures of leaders are indecisiveness in times of urgent need for action and dead certainty that they are right in times of complexity” (p. 211). While it appears that leadership struggled with acting for a number of years, they ultimately did so, but only because “If you don’t risk anything, you risk everything” (Carl Jung as cited in Barth, 2013, p. 291).

A second principle that emerged from my research journey was that in practice, decision making is frequently not based on a particular theory or prescribed process to be followed when executing organizational change such as school expansion. This implication may seem naïve for seasoned school leaders, but given the significance of the transformational changes and potential consequence of school closure, it was a surprise that none of the leaders had referenced an organizational change model or theory to assist with leading the complex process. Pogrow (2015), for example, writes of a “sophisticated practice” whereby school leaders make decisions “largely (but not solely) on the basis of research evidence” to guide them with tough decision making (p. 23). Pfeffer and Sutton, too, imply the need for some measure of sophisticated school leadership practice that incorporates outside theories by providing leadership several considerations when borrowing from external sources (as cited in Fullan, 2013). Nevertheless, the absence of specific organizational change theories by school leaders in this study does not discount the value of practical knowledge and personal theories of action that emerge from them. After all, Dewey (1916) reminds leaders, “An ounce of experience is better than a ton of theory

simply because it is only in experience that any theory has vital and verifiable significance" (p. 144).

Practical knowledge and personal theories of action. At a critical point in navigating an early voyage of the Hōkūleʻa, Thompson (1980) recognized that he could and needed to lead the waʻa and its crew without instruments. He states,

> Navigating without instruments is a personal act. You must know the principles but you cannot reduce wayfinding to a set of formal operations. I'm constantly discovering new things that are useful in getting the canoe there. On this trip I've been getting glimpses of a greater world of navigation, far beyond what I prepared myself for. . . . When I understand things without knowing how, that's when I know I've taken great steps. (para. 7 & 8)

As an emergent researcher and school leader, I have deeply appreciated how this study and doctoral journey have provided opportunities for me to discover and learn deeply and widely about leadership and organizational change theories. Leadership acquainted with academic research has the potential to enhance the knowledge, skills, and dispositions necessary to effect organizational change, but still may be inadequate. From my conversations the with board members, heads of school, administrative teams, and faculty of this study, I learned that at least equally as important is the need for leaders to trust in their abilities and experiences and lead from naʻau. As this pertains to my current role as a director of curriculum and any future leadership positions, I am especially grateful for encountering the concepts of action research and personal theories of action in both the research literature as well as the practical knowledge of the study's participants to inform my leadership practice.

The writing of Jarvis, whose lucid thinking provided the framework and necessary support in my professional leadership practice to brace the weight of the thick and wide body of leadership literature that advocated "a" change model and "a" theory as "the" way to lead organizational change. As a statistician, Pogrow established that educational leaders should understand and utilize statistics, but not be deluded or swayed by misleading analyses. Equally important, Pogrow reinforced the concept that in the absence of valid or credible research, personal theories of action are legitimate approaches to solving problems facing educational leaders. While these ideas may have been "known" by seasoned leaders and researchers, they were valuable lessons for me as I continue forward in my professional leadership practice. Dewey (1916) reminds educators, students, and leaders alike of this process and significance, stating,

> We sometimes talk as if "original research" were a peculiar prerogative of scientists or at least of advanced students. But all thinking is research, and all research is native, original, with him who carries it on, even if everybody else in the world already is sure of what he is still looking for. (p. 148)

My discovery in the literature and practice of personal theories of change as legitimate, necessary, and common in leading school expansion and organizational change thus marked a critical intersect in my three-year journey of discovering na‘au. As Thompson (1980) recognized, my decision to lead more from na‘au is a "personal act," where knowledge of leadership principles and practices is important, but so are my "understandings" that come from new discoveries and insights provided by experiences. The journey in conducting the research and writing of this case study thus has shifted my personal and professional perspectives and informed my decision making processes. It has also legitimated practical knowledge as the basis

for leadership action made kinetic by mechanisms of personal theories developed through experiences and na'au, which will continue to serve as the pole star of my professional educational leadership practice.

Future Research

The results of this study raised several potential areas to continue the journey of leadership research on organizational change at independent schools. These represent extensions to the current study and relate to investigations of quantitative or mixed methods designs, research studies examining the role of student gender when leading school change that involves the addition of boys versus girls, and inquiries that more deeply explore innovative leadership approaches to managing the impacts of the organizational environment when leading school change. The study also prompts further studies that track the expansion efforts longitudinally.

As an extension to the current study, future studies could utilize quantitative or mixed-methods designs to examine the role of organizational change models in school expansion processes in order to better understand how independent school leaders in the U.S. successfully lead the process of school expansion. The objectives of the study would include the determination if there is a difference in the success of school expansion based on the type of organizational change model adopted—be it a personal theory or research-based theoretical construct. It would also be to analyze the correlation between the type of organizational change model adopted and traits of the leaders who expanded their schools. These may be age and years of experience. Questions the study may examine include (a) Is there a difference in school expansion success based on the type of organizational change model adopted (theoretical or personal practitioner) by the school leader? (b) What relationship exists between the type of organizational change model and traits that reveal dimensions of leadership (e.g. years of

leadership experience and age) of leaders who expanded their schools? In this example, four separate equations could be calculated to determine Pearson product-moment correlation coefficients. Two of those calculations would determine the coefficients for the independent variable (X) "years of experience" and the dependent variables (Y) represented by the "personal practitioner" and "theoretical" models. The remaining two calculations would determine the Pearson coefficients for the independent variable "age" and the same two previous dependent variables.

Other extensions of the current study may explore whether independent school expansion at an all-girls school versus an all-boys school presents an easier or more challenging proposition for school leaders to pursue. If differences surface, the study could investigate the reasons for them and what lessons could be learned for leaders interested in transforming their schools. The study could examine questions such as (a) To what extent does an independent school's gender influence leadership's relative success or failure of organizational expansion processes when that expansion includes the addition of another gender? (b) How does the age of the institution help or hinder leadership's ability to effect change? Findings from such a study may help decision making and change-management approaches for independent school leaders considering organizational expansion to include another gender.

Future research investigations that stem from this study may explore more deeply innovative leadership approaches that effectively manage threats and opportunities in the external operating climate that impact institutional sustainability. Research questions to investigate may include (a) In what ways does the external operating environment threaten or provide opportunities to independent schools? (b) In what innovative ways do independent school leaders effectively manage external threats to the organization and capitalize on

opportunities? Findings from the investigation may lead to improved understandings for independent school leaders seeking to keep their schools current, relevant, and sustainable.

Lastly, this study may prompt future researchers to investigate longitudinally, the sustainability of the school expansion efforts at independent schools. Research questions may inquire into the leadership factors that explain the relative successes or failures of the organizational change efforts.

Conclusion

This study and the greater aims of the doctorate program in educational professional practice succeeded in approaching their narrower and broader purposes. In the narrower scope, this qualitative case study addressed the research questions and illuminated factors and practices that influence leadership of independent school expansion processes in Hawai‘i. More broadly, the research investigation led to improvement of the researcher’s skills and knowledge, and will hopefully serve to assist researchers and practitioners alike who are interested in independent school leadership and improvement of professional educational leadership practice. Ultimately, however, “the practitioner-researchers’ reports are their knowledge but the readers’ information” (Jarvis, 1999, p. 147). The researcher acknowledges that while all aspects of this study’s findings that have been elaborated upon in response to the research questions may not assist every independent school leader or the broader research community interested in leading organizational expansion, the assumptions underlying them have found expression in the unique experiences of its participants and growth of the researcher. May this report begin to serve as the Hōkūle‘a, or “Star of Gladness,” has for the Hawaiian people in providing hope, in that amidst storms and unsettled seas, independent school heads and governing boards may find the courage and confidence to steer their schools into safer waters and new discoveries to sustain themselves

for future generations. Embarking on new adventures, I look forward to opportunities to continue to apply the skills, knowledge, and understandings afforded me during my three-year sojourn "at sea," in which time I may not have encountered land, but was gifted with new horizons.

APPENDIX A. SAMPLE RECRUITMENT LETTER

Dear Sir/Madam,

My name is Casey Asato. I am a graduate student at the University of Hawai‘i at Mānoa in the Doctor of Education (Ed.D.) Professional Educational Practice program. As part of the requirements for earning the degree, I am conducting a research study.

The purpose of the study is to explore how independent schools negotiate and lead the process of organizational expansion. The study also seeks to understand factors that contribute to the challenges and successes of organizational change by examining the processes at independent schools in Hawai‘i. I am inviting your school to participate in this research study because of its experience with school expansion in recent years.

If your school participates in this research study, I will meet with selected members of the school for an interview and/or a focus group at a location and time convenient to the school. The interview may consist of 5 to10 open-ended questions and may take 45 minutes to an hour. Responses will be audio-recorded so that I can later transcribe the interview and analyze the responses. Your school would be one of several schools that I will interview for this study. At each school I will meet with approximately 7 to 10 members in a combination of individual interviews or focus groups. No students will be asked to participate in this study.

Participation in this study is completely voluntary. Measures will be taken to provide anonymity to the participating schools and individuals interviewed. Moreover, all information will be kept safe and protected through a coding tool. At the conclusion of the study, all audio-recordings and transcriptions will be destroyed and the findings will be made available for your review.

Thank you for your kind consideration of participating in this exciting exploration of school expansion and leadership among independent schools in Hawai‘i.

Would it be possible to find time for us to meet in person or speak on the phone to share more about this study? My hope is that our brief conversation will give you a chance to share any questions or concerns you might have in allowing your school’s participation.

In the meantime, if you have any immediate questions or concerns, please contact me by email at caseya@hawaii.edu or by phone at XXX-XXX-XXXX.

I look forward to hearing from you soon.

Sincerely,
Casey Asato

APPENDIX B. SCHOOL CONSENT TO PARTICIPATE

University of Hawai‘i at Mānoa

School Consent to Participate in Research Study:

School Expansion Among Independent Schools in Hawai‘i: Negotiating and Leading Organizational Change

My name is Casey Asato. I am a graduate student at the University of Hawai‘i at Mānoa in the Doctor of Education (Ed.D.) Professional Educational Practice program. As part of the requirements for earning the degree, I am conducting a research study.

The purpose of the study is to explore how independent schools negotiate and lead the process of organizational expansion. The study also seeks to understand factors that contribute to the challenges and successes of organizational change by examining the processes at independent schools in Hawai‘i. I am inviting your school to participate in this research study because of its experience with school expansion in recent years.

Activities and Time Commitment: If the school participates in this research study, I will meet with selected members of the school for an interview and/or a focus group at a location and time convenient to the school. The interview may consist of 5 to10 open-ended questions and may take 45 minutes to an hour. Responses will be audio-recorded so that I can later transcribe the interview and analyze the responses. Your school will be one of several schools that I will interview for this study. At each school I will meet with approximately 7 to 10 members in a combination of individual interviews or focus groups.

Benefits and Risks: The results of this study may help improve professional practice for independent school leaders in negotiating and leading organizational change. I believe there is little risk to your school in participating in this research study. At any time the school may withdraw from the study altogether.

Privacy and Confidentiality: I will store all the data in a safe place. Only my University of Hawai‘i faculty advisor and I will have access to the information. The University of Hawai‘i Human Studies Program has the right to review research records for this study.

At the conclusion of the study, I will erase or destroy the audio-recordings. When I report the results of the research study, I will not use the school’s name or any other personal identifying information. I will use pseudonyms and report the findings in a way that protects the school’s privacy and confidentiality to the extent allowed by law.

Voluntary Participation: The school’s participation in this study is completely voluntary. The school may withdraw its participation at any time. If you decide to withdraw the school from the study there will be no penalty or loss to the school. Your choice for the school to participate or not participate will not affect the school’s rights to services at the University of Hawai‘i.

Questions: If you have any questions about this study, please contact me by email at caseya@hawaii.edu or by phone at XXX-XXX-XXXX. You may also contact my faculty adviser, Dr. Steven Shiraki, by email at shirakis@hawaii.edu or phone at XXX-XXX-XXXX.

If you have questions about your rights as a research participant, you may contact the University of Hawai‘i Human Studies Program by email at uhirb@hawaii.edu or by phone at 808-956-5007.

If you agree to the school’s participation in this project, please sign and date the signature page and return it to me. Thank you for your consideration in this exciting exploration of school expansion and leadership among independent schools in Hawai‘i.

Signature(s) for Consent:

I give permission for the school to participate in the research study entitled, *School Expansion Among Independent Schools in Hawai'i: Negotiating and Leading Organizational Change*.

Name of School (Print): _____

Name of Head of School (Print): _____

Head of School Signature: _____

Date: _____

Signature of the Person Obtaining Consent: _____

Date: _____

APPENDIX C. INDIVIDUAL CONSENT TO PARTICIPATE

University of Hawai‘i at Mānoa

Individual Consent to Participate in Research Study:

School Expansion Among Independent Schools in Hawai‘i: Negotiating and Leading Organizational Change

My name is Casey Asato. I am a graduate student at the University of Hawai‘i at Mānoa in the Doctor of Education (Ed.D.) Professional Educational Practice program. As part of the requirements for earning the degree, I am conducting a research study.

The purpose of the study is to explore how independent schools negotiate and lead the process of organizational expansion. The study also seeks to understand factors that contribute to the challenges and successes of organizational change by examining the processes at independent schools in Hawai‘i. I am inviting you to participate in this research study because of your role in the expansion of an independent school in recent years.

Activities and Time Commitment: If you participate in this research study, I will meet with you for an interview and/or a focus group at a location and time convenient for you. The interview may consist of 5 to10 open-ended questions and may take 45 minutes to an hour. Responses will be audio-recorded so that I can transcribe the interview and analyze the responses.

Benefits and Risks: The results of this study may help improve professional practice for independent school leaders in negotiating and leading organizational change. I believe there is little risk to you in participating in this research study. At any time you may pause or stop the interview, or withdraw from the study altogether.

Privacy and Confidentiality: I will store all the data in a safe place. Only my University of Hawai‘i faculty advisor and I will have access to the information. The University of Hawai‘i Human Studies Program has the right to review research records for this study. At the conclusion of the study, I will erase or destroy the audio-recordings. When I report the results of the research study, I will not use your name or any other personal identifying information that can identify you. I will use pseudonyms and report the findings in a way that protects your privacy and confidentiality to the extent allowed by law.

Voluntary Participation: Your participation in this study is completely voluntary. You may withdraw your participation at any time. If you decide to withdraw from the study there will be no penalty or loss to you. Your choice to participate or not participate will not affect your rights to services at the University of Hawai‘i.

Questions: If you have any questions about this study, please contact me by email at caseya@hawaii.edu or by phone at XXX-XXX-XXXX. You may also contact my faculty adviser, Dr. Steven Shiraki, by email at shirakis@hawaii.edu or phone at XXX-XXX-XXXX.

If you have questions about your rights as a research participant, you may contact the University of Hawai‘i Human Studies Program by email at uhirb@hawaii.edu or by phone at 808-956-5007.

If you agree to participate in this project, please sign and date the signature page and return it to me. Thank you for your consideration in this exciting exploration of school expansion and leadership among independent schools in Hawai‘i.

Signature(s) for Consent:

I give permission to participate in the research study entitled, *School Expansion Among Independent Schools in Hawai'i: Negotiating and Leading Organizational Change*.

Please initial next to either "Yes" or "No" to the following:

_____ Yes _____ No I consent to be audio-recorded for the interview portion of this research.

Name of Participant (Print): _____

Participant's Signature: _____

Date: _____

Signature of the Person Obtaining Consent: _____

Date: _____

APPENDIX D. HEAD OF SCHOOL INTERVIEW QUESTIONS

1. Why did your school decide to expand?

2. Describe the processes to decide and implement your school's expansion.

3. What roles did your leadership style, capacities, and dispositions play in the school's expansion process?

4. In what ways did the school's mission, history, and traditions create challenges or opportunities in your leadership of the expansion process?

5. In what ways has the school's expansion disrupted or strengthened the very assumptions, values, and symbols of the school?

6. In what ways have the school's formal and informal leaders of the expansion process created new meaning in the school as a result of the expansion?

7. How have you nurtured and shaped a new culture to support the changes and expanded profile by the expansion of the school?

8. How did changes outside the school such as competition, the economy, demographics, and technology impact your decision making and implementation of the school's expansion?

9. With respect to your school's expansion, could you share any unanticipated events that negated or fulfilled desired outcomes?

10. What advice would you give a head of school who is considering school expansion?

11. Is there anything else you'd like to share?

APPENDIX E. GOVERNING BOARD MEMBER INTERVIEW QUESTIONS

1. Why did the school decide to expand?

2. What role did the board play in your school's expansion process—from conceptualization to implementation?

3. What values or goals guided the board's governance in your school's expansion process?

4. What key elements related to the board's leadership style, capacities, and dispositions were critical to the school's expansion process?

5. What challenges or opportunities did the school's mission, history, and traditions play in the school expansion process?

6. In what ways has the school's expansion disrupted or strengthened the very assumptions, values, and symbols of the school?

7. In what ways did changes in your school's operational environment—both external and internal—impact the board's decision making regarding the school expansion process?

8. What advice would you give a school that is considering school expansion?

9. Is there anything else you'd like to share?

APPENDIX F. ADMINISTRATIVE TEAM FOCUS GROUP QUESTIONS

1. From your perspective, what key factors prompted your school to consider expansion?

2. Describe your role in the decision making and implementation process of the school's expansion?

3. What aspects of the school's expansion process presented the biggest challenges, and how did leadership overcome them?

4. What unanticipated events or circumstances impacted the leadership of the school's expansion?

5. In what ways did the school's culture facilitate or complicate the school's expansion process?

6. In what ways have formal and informal leaders in your school created new meaning in the school as a result of the expansion?

7. In what ways did changes in your school's operational environment—both external and internal—impact decision making regarding the school expansion process?

8. Is there anything else that you'd like to share?

APPENDIX G. FACULTY FOCUS GROUP QUESTIONS

1. What reasons explain your school's decision to expand?

2. How were you and other faculty involved in the school's expansion process?

3. What did the school's expansion process mean to you about the decision making processes and leadership capacities and dispositions at your school?

4. In addition to formal positions of authority, were there individuals who served in informal roles of leadership who helped facilitate the school's expansion process—from decision making to implementation?

5. In what ways did your school's culture—its values, traditions, symbols, rituals, and ceremonies—affect the expansion process?

6. What did the school's expansion and its process mean for you?

7. Compared to before the school's expansion, what less obvious changes, gains, surprises, or losses have you felt in both the process and result of school expansion?

8. In what formal and informal ways have leadership structures impacted the shaping of school culture following the expansion?

9. Is there anything else you'd like to share?

APPENDIX H. INTERVIEW/FOCUS GROUP TRANSCRIPT MEMBER CHECK

Dear Sir/Madam,

Thank you, again, for agreeing to be interviewed for my dissertation research. Your participation is invaluable to the study and I would like to be able to integrate some quotes anonymously into my final write-up.

Attached, please find a transcript of the interview. I am sending this to you as a "member check" in which you have the opportunity to review whether the transcribed conversation accurately conveys what was said and/or meant. This process offers you an opportunity to clarify any indiscernible or misunderstood conversation in the transcript. Please note that sometimes the literal transcription differs from the polished written work. This is normal research practice. You may be assured that any quotes that make it into the final paper will be included in such a way that the context and meaning are clear.

After reviewing the transcript, please let me know if there are any amendments that you would like me to make. If you would like a copy of the audio recording for comparison purposes, I can make that available to you.

Once you have completed your review and are fine with the transcript, please let me know at your earliest convenience by sending me an email stating that the transcript is an accurate representation of our interview.

I hope that this process is not unnecessarily burdensome for you. It is necessary as a matter of ethical research practice, and I would like to express my appreciation for your help with this study.

Sincerely,
Casey Asato

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